

## **ATTACHMENT 1**

May 2016

# Advancing Academic Research

Bibliography of Published Papers and  
Presentations  
Using IMS Health Information



# Introduction

IMS Health information is used extensively by researchers around the world to advance understanding of key healthcare issues. As a leading global information and technology services company, we collaborate with academics and others whose research would be significantly advanced through access to IMS Health proprietary information. This activity generates a large number of peer-reviewed publications and conference presentations, covering a broad range of topics.

The range of information accessed and used for research purposes is extensive. It includes summarized global and national prescription drug volume and sales information; provider-level prescription information; de-identified longitudinal patient data; provider profiles and organizational relationships; and commercial insurance medical and pharmacy claims information.

This bibliography provides a summary of research published from January 2010 through March 2015 that was undertaken by U.S.-based researchers and utilized IMS Health data assets. The bibliography is in reverse chronological order by publication date and organized into four themes: Understanding Disease and Treatment Patterns, Providing Content for Healthcare Costs, Assessing Policy Levers, and Advancing Real World Patient-Level Clinical Evidence. Collectively, this research represents a substantial advancement in understanding the real-world operation of our health system, and is invaluable to multiple stakeholders. This bibliography has been produced as a public service without industry or government funding.

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# Understanding Disease and Treatment Patterns

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## Assessing Policy Levers

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**Changes in glitazone use among office-based physicians in the U.S., 2003-2009**

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from 1991 to 2008**

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# IMS INSTITUTE

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HEALTHCARE INFORMATICS

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**SELECTED HSRN ANNOTATED BIBLIOGRAPHY, 2003-2014**  
(Updated May 2014).

The IMS Health Services Research Network is comprised of academic researchers who are conducting empirically rigorous, policy-relevant studies to improve the quality and cost-effectiveness of health care in the United States. The network includes members from a variety of complementary disciplines including pharmacy, medicine, law, economics, business, and public policy. This annotated bibliography reflects more than 100 publications by HSRN members in the peer-reviewed literature during recent years using IMS Health's data assets.

1. Laxminarayan R, Klugman KP. Communicating trends in resistance using a drug resistance index. *BMJ Open* 2011;1:e000135 doi:10.1136/bmjopen-2011-000135.  
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2. Donohue J, O'Malley AJ, Horvitz-Lennon M, Taub AL, Berndt ER, Huskamp HA. Changes in physician antipsychotic prescribing preferences, 2002-2007. *Psychiatric Services*. 2014;65:315-22.  
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6. Schumock GT, Li EC, Suda KJ, Matusiak LM, Hunkler RJ, Vermeulen LC, Hoffman JM. National trends in prescription drug expenditures and projections for 2014. *Am J Health Syst Pharm*. 2014;71:482-99.  
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*The authors use the IMS Health National Sales Perspectives™ database to analyze trends in U.S. pharmaceutical spending, including projections for drug expenditures in nonfederal hospital and clinic settings in 2014. Growth in U.S. prescription drug expenditures is expected to rebound in 2014, with a projected 3-5% increase in total drug expenditures across all settings this year, including a 5-7% increase in clinic spending and a 1-3% increase in hospital spending. They conclude that health-system pharmacy leaders should carefully examine local drug-utilization patterns to determine their respective organization's anticipated spending in 2014.*
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*The authors used the IMS National Prescription Audit™ (NPA) to assess the appropriateness of new standards for FDA drug approval by examining the development times, clinical testing, postmarket follow-up, and safety risks for the new drugs approved by the FDA in 2008, when most provisions of current law, regulation, and policies were in effect. They conclude that new drugs approved by the FDA in 2008 that received expedited review were approved more rapidly than those that received standard review. However,*

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postal codes ranged from less than 1% of residents to more than 40% residents. Clusters of elevated use of antidepressants, antipsychotics, and stimulants were also found in the postal codes. This geographic variation was found to be due to access to health care, insurance coverage and pharmaceutical marketing efforts. They concluded that access to health care, insurance coverage and pharmaceutical marketing efforts explain much of the geographic variation in use.

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*The author used MIDAS™ data from IMS to examine the variation in drug prices across and within countries. He found that, on average, pharmaceutical companies charge lower prices in low-income countries than in industrialized nations. Manufacturers' ability to price products differently for different markets increases their profits overall, but it is also likely to result in greater investment in research and development, and therefore in more new drugs on the market.*

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*The authors used IMS LifeLink™: Health Plan Claims data to evaluate whether intensive statin therapy in a managed-care setting produces greater clinical benefit than more moderate statin use based on analyses of adults hospitalized for coronary heart disease (CHD) between 2000 and 2003. They found that high risk CHD patients benefit from intensive statin therapy in a real-world, managed-care cohort, with a 29% reduced risk of death compared with those receiving standard therapy.*

122. Hoffman JM, Shah ND, Vermeulen LC, Schumock GT, Grim P, Hunkler RJ, Hontz KM. Projecting Future Drug Expenditures – 2007. *American Journal of Health System Pharmacy*. 2007;64:298-314.

<http://www.ncbi.nlm.nih.gov/pubmed/17244880>

*The authors used National Sales Perspectives™ (NSP) and National Prescription Audit™ (NPA) to analyze drug expenditure trends in 2005 and 2006, project drug expenditures for 2007, and examine factors likely to influence drug expenditures.*

123. Naslund M, Black L, Eaddy M, Batiste LR. Differences in Alpha Blocker Usage Among Enlarged Prostate Patients Receiving Combination Therapy with 5 ARIs. *American Journal of Managed Care*. 2007;13Suppl1:S17-22.

<http://www.ncbi.nlm.nih.gov/pubmed/17295601>

*The authors used IMS LifeLink™: Health Plan Claims data to assess the likelihood and timing of alpha blocker discontinuation in patients receiving combination therapy with dutasteride or finasteride plus an alpha blocker. Patients with an enlarged prostate who were taking an alpha blocker and 5-alpha reductase inhibitor in combination discontinued their alpha blocker 20% earlier when taking dutasteride than when taking finasteride.*

124. Issa MM, Runken MC, Grogg AL, Shah MB. A Large Retrospective Analysis of Acute Urinary Retention and Prostate-Related Surgery in BPH Patients Treated with 5-Alpha Reductase Inhibitors: Dutasteride versus Finasteride. *American Journal of Managed Care*. 2007;13Suppl1:S10-6.

<http://www.ncbi.nlm.nih.gov/pubmed/17295600>

*The authors used IMS LifeLink™: Health Plan Claims data to examine rates of acute urinary retention and surgery among patients age 50 or older diagnosed with benign prostatic hyperplasia (BPH) treated with 5-alpha reductase inhibitors (5ARIs). Patients treated with dutasteride were less likely to experience acute urinary retention than patients treated with finasteride (5.3% v 8.3%) and demonstrated a trend toward a lower likelihood of requiring surgery.*

125. Jick SS, Jick H. The Contraceptive Patch in Relation to Ischemic Stroke and Acute Myocardial Infarction. *Pharmacotherapy*. 2007;27:218-20.

<http://www.ncbi.nlm.nih.gov/pubmed/17253912>

*The authors used IMS LifeLink™: Health Plan Claims data to compare rates of stroke and acute myocardial infarction in users of the Ortho EVRA contraceptive patch with these rates in users of norgestimate-containing oral contraceptives among females aged 15-45 who had filled at least one prescription for either type of contraceptive between 2002 and 2005. Both ischemic stroke and acute myocardial infarction were rare among young women who use hormonal contraceptives, and the data provided no suggestion of an increased risk of either in users of either type of contraceptive.*

126. Prescott JD, Factor S, Pill M, Levi GW. Descriptive Analysis of the Direct Medical Costs of Multiple Sclerosis in 2004 Using Administrative Claims in a Large Nationwide Database. *Journal of Managed Care Pharmacy*. 2007;13:44-52.

<http://www.ncbi.nlm.nih.gov/pubmed/17269836>

*The authors used IMS LifeLink™: Health Plan Claims data to: 1) determine the average total and component direct medical costs incurred in the treatment of multiple sclerosis (MS) patients in 2004 and 2) compare MS treatment costs and cost factors in 2004 with 1995. Pharmacy costs accounted for 65% of total MS-related medical costs in 2004 and 75% of total costs for the subset of MS patients (58%) who receive at least 1 disease-modifying drug. Total annual MS-related treatment costs increased by 35% from 1995 to 2004.*

127. Berndt ER, Danzon PM, Kruse GB. Dynamic Competition in Pharmaceuticals: Cross-National Evidence from New Drug Diffusion. *Managerial and Decision Economics*. 2007;28:231-250.

*The authors use IMS Health MIDAS™ data to examine differences in treatment intensity, daily doses and expenditures across countries, assess differences in prices (per daily dose) of new vs old medicines, and report cross-country differences in the promotion of prescription drugs for antihypertensives, antidepressants and antiepileptics. They found substantial variation across classes and countries in promotion and diffusion. Relative to other countries, the United States was in the middle when comparing relative prices of old vs new drugs. Differences across therapeutic classes were particularly striking.*

128. Radley D, Finkelstein S, Stafford RS. Off-Label Prescribing Among Office-Based Physicians. *Archives of Internal Medicine*. 2006;166:1021-1026.

<http://www.ncbi.nlm.nih.gov/pubmed/16682577>

*The authors used the National Disease and Therapeutic Index™ (NDTI) to define prescribing patterns by diagnosis for 160 commonly prescribed drugs. They found that in 2001, there were an estimated 150 million off-label mentions among the sampled medications and that off-label use was most common among cardiac medications and anticonvulsants.*

129. Stafford RS, Monti V, Furberg CD, Ma J. Long-Term and Short-Term Changes in Antihypertensive Prescribing by Office-Based Physicians in the U.S. *Hypertension*. 2006;48:213-8.

<http://www.ncbi.nlm.nih.gov/pubmed/16785334>

*The authors used the National Disease and Therapeutic Index™ (NDTI) to describe both long and short-term trends in US antihypertensive prescribing from 1990 through 2004. They found that diuretics ranked among the top 3 antihypertensive drug classes through this time span and that evidence-based clinical recommendations had an impact on prescribing practices, though small.*



130. Lichtenberg FR. The Impact of Increased Utilization of HIV Drugs on Longevity and Medical Expenditure: An Assessment Based on Aggregate U.S. Time-Series Data. Expert Review of Pharmacoeconomics and Outcomes Research. 2006;6:425-436.  
<http://www.nber.org/papers/w12406.pdf>  
*The author used National Prescription Audit™ (NPA) in combination with the CDC's AIDS Public Information Data Set and data from AHRQ's Nationwide Inpatient Sample to estimate the medical cost per life-year gained from increased utilization of HIV drugs. Estimates imply that actual life expectancy of HIV/AIDS patients in 2001 was 13.4 years higher than it would have been if the drug utilization rate had not increased from its 1993 level, and medical cost per additional life-year is estimated to have been \$17,175, widely considered cost-effective.*
131. Arellano FM, Ulcickas Yood M, Wentworth CE, et al. Use of Cyclo-Oxygenase 2 Inhibitors (COX-2) and Prescription Non-Steroidal Anti-Inflammatory Drugs (NSAIDs) in UK and USA Populations: Implications for COX-2 Cardiovascular Profile. Pharmacoepidemiology and Drug Safety. 2006;15:861-872.  
<http://www.ncbi.nlm.nih.gov/pubmed/17086563>  
*The authors combined IMS LifeLink™: Health Plan Claims data and The Health Improvement Network (THIN) data from the United Kingdom to describe the patterns of NSAIDs and COX-2 use between 1995-2004. Among the cohorts, COX-2 use was higher in the US (21%) than UK (16%). More COX-2 users than NSAIDs users received concomitant gastroprotective agents (GPA), corticosteroids and anti-platelet therapy, and had a history of thromboembolic events and hypertension. US patients were prescribed higher doses of both NSAIDs and COX-2.*
132. Jumadilova Z, Varadharajan S, Girase P, Ollendorf DA. Retrospective Evaluation of Outcomes in Patients with Overactive Bladder Receiving Tolterodine Versus Oxybutynin. American Society of Health-System Pharmacists. 2006;63:2357-64.  
<http://www.ncbi.nlm.nih.gov/pubmed/17106009>  
*The authors used IMS LifeLink™: Health Plan Claims data to assess the frequency, relative risk, resource utilization, and costs related to comorbidities associated with overactive bladder (OAB) based on analyses of patients with OAB who initiated treatment between 1/2001-12/2002. They found that treatment of OAB patients with tolterodine ER was associated with reduced frequency, relative risk, medical and pharmacy resource utilization, and incurred costs related to selected OAB-associated comorbidities compared with treatment with oxybutynin ER or oxybutynin IR.*
133. Ollendorf DA, Lidsky L. Infliximab Drug and Infusion Costs Among Patients with Crohn's Disease in a Commercially-Insured Setting. American Journal of Therapeutics. 2006;13:502-6.  
<http://www.ncbi.nlm.nih.gov/pubmed/17122530>  
*The authors used IMS LifeLink™: Health Plan Claims data to evaluate actual expenditures for infliximab by examining patterns of administration and reimbursement among commercially-insured patients receiving infliximab for Crohn's Disease (CD). The charged and paid amounts per vial billed averaged \$927 and \$583 respectively, so the true costs of administering infliximab are likely to be lower than reported for charged amounts.*
134. Jick SS, Jick H. Cerebral Venous Sinus Thrombosis in Users of Four Hormonal Contraceptives: Levonorgestrel-Containing Oral Contraceptives, Norgestimate-Containing Oral Contraceptives,



Desogestrel-Containing Oral Contraceptives and the Contraceptive Patch. *Contraception*. 2006;74:290-292.

<http://www.ncbi.nlm.nih.gov/pubmed/16982227>

*The authors used IMS LifeLink™: Health Plan Claims data to assess the risk of cerebral venous sinus thrombosis among women aged 15-44 years who filled at least one prescription for either the contraceptive patch or oral contraceptives. There was no evidence of an increased risk of cerebral venous sinus thrombosis in users of the contraceptive patch compared to users of levonorgestrel-containing oral contraceptives.*

135. MacDougall DA, Feliu AL, Boccuzzi SJ, Lin J. Economic Burden of Deep-Vein Thrombosis, Pulmonary Embolism, and Post Thrombotic Syndrome. *American Journal of Health System Pharmacy*. 2006;63(20Suppl6):S5-15.

<http://www.ncbi.nlm.nih.gov/pubmed/17032933>

*The authors used IMS LifeLink™: Health Plan Claims data to determine the direct medical costs of a deep-vein thrombosis (DVT) or pulmonary embolism (PE) patient across the entire continuum of care based on claims data analysis of patients with a DVT or PE diagnosis and patients with possible evidence of post-thrombotic syndrome between 1997 and 2004. The initial acute DVT or PE event was associated with high total healthcare costs and these costs were further increased by subsequent events such as recurrent DVT or PE and post-thrombotic syndrome.*

136. Brassard P, Kezouh A, Suissa S. Antirheumatic Drugs and The Risk of Tuberculosis. *Clinical Infectious Diseases*. 2006;43:717-22.

<http://www.ncbi.nlm.nih.gov/pubmed/16912945>

*The authors used IMS LifeLink™: Health Plan Claims data to quantify the rate of tuberculosis (TB) among a cohort of patients with rheumatoid arthritis (RA) and to assess whether the independent use of disease-modifying antirheumatic drugs (DMARDs) is associated with the risk of developing TB. They used conditional logistic regression in a nested case-control analysis of all subjects with 1 or more diagnoses of RA from 1998 to 2003. The use of biological and traditional DMARDs was associated with an increased risk of developing TB, mainly among noncurrent users of corticosteroids.*

137. McLaughlin TP, Khandker RK, Kruzikas DT, Tummala R. Overlap of Anxiety and Depression in a Managed Care Population: Prevalence and Association with Resource Utilization. *Journal of Clinical Psychiatry*. 2006;67:1187-93.

<http://www.ncbi.nlm.nih.gov/pubmed/16965195>

*The authors used IMS LifeLink™: Health Plan Claims data to characterize the diagnosis of anxiety and depression within a large managed care population and to measure the impact of having both of these conditions on treatment patterns, health care utilization, and cost. The combination of anxiety and depression was fairly common, patients with both conditions tended to have more somatic complaints, a higher incidence of antidepressant use, incur the highest utilization of medical services, and have the highest medical costs.*

138. Suissa S, Bernatsky S, Hudson M. Antirheumatic Drug Use and the Risk of Acute Myocardial Infarction. *Arthritis & Rheumatism*. 2006;55:531-6.

<http://www.ncbi.nlm.nih.gov/pubmed/16874796>

*The authors used IMS LifeLink™: Health Plan Claims data to assess the risk of acute myocardial infarction associated with the use of disease-modifying antirheumatic drugs (DMARDs) and other medications commonly used in rheumatoid arthritis. The use of DMARDs was associated with a reduction in acute myocardial infarction risk among patients with rheumatoid arthritis.*

139. Hawkins RG, Houston MC. Is Population-Wide Diuretic Use Directly Associated With the Incidence of End-Stage Renal Disease in the United States? A Hypothesis. *American Journal of Hypertension*. 2006;19:565-7.

<http://www.ncbi.nlm.nih.gov/pubmed/15925729>

*The authors used MIDAS™ along with a national databases for all-cause cardiovascular disease (CVD) mortality and stroke mortality from the National Vital Statistics Registry, and US Renal Data Service information to determine whether changes in drug use patterns are predictive of disease emergence in the US from 1980-98. Increasing annual diuretic distribution was directly associated with accelerated time-lagged growth rates of end-stage renal disease (ESRD) incidence.*

140. Allen-Ramey FC, Bukstein D, Luskin A, Sajjan SG, Markson LE. Administrative Claims Analysis of Asthma-Related Health Care Utilization for Patients who Received Inhaled Corticosteroids with Either Montelukast or Salmeterol as Combination Therapy. *Journal of Managed Care Pharmacy*. 2006;12:310-21.

<http://www.ncbi.nlm.nih.gov/pubmed/16792437>

*The authors used IMS LifeLink™: Health Plan Claims data to compare asthma-related health care resource utilization among a matched cohort of asthma patients between the ages of 4-55 years using inhaled corticosteroids (ICSs) plus either montelukast (MON) or salmeterol (SAL) as combination therapy for asthma. The use of ICS/MON compared with ICS/SAL resulted in similar odds of oral corticosteroid fills, decreased odds of Emergency Department visits and asthma-related hospitalizations, but higher utilization of short-acting beta-agonist (SABA) fills.*

141. Suissa S, Hudson M, Ernst P. Leflunomide Use and The Risk of Interstitial Lung Disease in Rheumatoid Arthritis. *Arthritis & Rheumatism*. 2006;54:1435-9.

<http://www.ncbi.nlm.nih.gov/pubmed/16645972>

*The authors used IMS LifeLink™: Health Plan Claims data to assess the risk of interstitial lung disease in patients with rheumatoid arthritis treated with leflunomide, a disease-modifying antirheumatic drug (DMARD), between 1998 and 2003. They found that reports of interstitial lung disease associated with leflunomide use were likely the result of the channeling of high-risk patients to leflunomide treatment, particularly those with a history of methotrexate use or preexisting ILD.*

142. Joyce AT, Harrison DJ, Loebel AD, Carter CT, Ollendorf DA. Effect of Initial Ziprasidone Dose on Length of Therapy in Schizophrenia. *Schizophrenia Research*. 2006;83:285-92.

<http://www.ncbi.nlm.nih.gov/pubmed/16545543>

*The authors used IMS LifeLink™: Health Plan Claims data to examine the effects of initial ziprasidone dose on discontinuation rates in patients 18 years or older with a diagnosis of schizophrenia or schizoaffective disorder and a ziprasidone claim between 2001 and 2003. Patients initiating ziprasidone with an initial dose of at least 120 mg/day had better medication adherence compared to those initiating at lower doses.*

143. Black L, Naslund MJ, Gilbert TD Jr, Davis EA, Ollendorf DA. An Examination of Treatment Patterns and Costs of Care Among Patients with Benign Prostatic Hyperplasia. *American Journal of Managed Care*. 2006;12:S99-S110.  
<http://www.ncbi.nlm.nih.gov/pubmed/16551208>  
*The authors used IMS LifeLink™: Health Plan Claims data to examine utilization and costs of care for benign prostatic hyperplasia (BPH)-related services in a large cohort of commercially insured persons. The sample included men age 45 and older who were newly diagnosed with BPH between 2000 and 2001. The results suggest that most patients undergo watchful waiting in the year after diagnosis, while rates of surgery and adverse events were low but costly.*
144. Jick SS, Kaye JA, Russmann S, Jick H. Risk of Nonfatal Venous Thromboembolism in Women Using a Contraceptive Transdermal Patch and Oral Contraceptives Containing Norgestimate and 35 Microg of Ethinyl Estradiol. *Contraception*. 2006;73:223-8.  
<http://www.ncbi.nlm.nih.gov/pubmed/16472560>  
*The authors used IMS LifeLink™: Health Plan Claims data to assess the risk of nonfatal venous thromboembolism (VTE) in women aged 15-44, who either started using a new transdermal contraceptive patch or norgestimate-35 oral contraceptives after 4/2002. They found that the risk of nonfatal VTE for the patch is similar to the risk for oral contraceptives (OR 0.9 with 95% CI 0.5-1.6).*
145. Keating KN, Friedman HS, Perfetto EM. Moxifloxacin Versus Levofloxacin for Treatment of Acute Rhinosinusitis: A Retrospective Database Analysis of Treatment Duration, Outcomes, and Charges. *Current Medical Research and Opinion*. 2006; 22:327-33.  
<http://www.ncbi.nlm.nih.gov/pubmed/16466604>  
*The authors used IMS LifeLink™: Health Plan Claims data to examine how labeled recommendations for duration of moxifloxacin and levofloxacin treatment of acute bacterial rhinosinusitis compared with real-world practice, and compare the failure and recurrence rates, and associated charges, based on analyses of claims searched over a 3-year period for episodes of acute rhinosinusitis treated within 5 days with moxifloxacin or levofloxacin. Shorter treatment durations seen for moxifloxacin reflected the label-recommended duration for acute rhinosinusitis, resulted in better outcomes than levofloxacin re: risk of treatment failure and recurrence, and lower total charges.*
146. Hoffman JM, Shah ND, Vermeulen LC, Schumock GT, Grim P, Hunkler RJ, Hontz KM. Projecting Future Drug Expenditures – 2006. *American Journal of Health System Pharmacy*. 2006;63:123-38.  
<http://www.ncbi.nlm.nih.gov/pubmed/16390926>  
*The authors used National Sales Perspectives™ (NSP) and National Prescription Audit™ (NPA) to analyze drug expenditure trends in 2004 and 2005, project drug expenditures for 2006, and examine factors likely to influence drug expenditures.*
147. Wilensky J, Fiscella RG, Carlson AM, Morris LS, Walt J. Measurement of Persistence and Adherence to Regimens of IOP-Lowering Glaucoma Medications Using Pharmacy Claims Data. *American Journal of Ophthalmology*. 2006;141:S28-33.  
<http://www.ncbi.nlm.nih.gov/pubmed/16389058>

*The authors used IMS LifeLink™: Health Plan Claims data to determine persistence and adherence of glaucoma patients to therapeutic regimens of prostaglandin/prostamide-class medications to lower intraocular pressure. Overall, patients taking prostaglandin/prostamide medications had a mean adherence rate of 76%.*

148. Stafford RS, Drieling R, Johns R, Ma J. National Patterns of Calcium Use in Osteoporosis. *Journal of Reproductive Medicine*. 2005; 11(Suppl): 885-895.

<http://www.ncbi.nlm.nih.gov/pubmed/16422278>

*The authors used the National Disease and Therapeutic Index™ (NDTI) to determine whether the recent therapeutic dominance of bisphosphonates in osteoporosis treatment may have led calcium to be neglected as a component of effective management. They found that physician visits for osteoporosis in the US increased 4.5-fold between 1994 and 2004 and that during this time the proportion of visits in which bisphosphonates were prescribed increased from 14% to 81%, while reported calcium use fell from 43% to 23% of visits.*

149. Lichtenberg FR. Pharmaceutical Innovation and The Burden of Disease in Developing Countries. *Journal of Medicine and Philosophy*. 2005; 30:663-90.

<http://www.ncbi.nlm.nih.gov/pubmed/16396790>

*The author used drug launch data from MIDAS™ to analyze the relationship across diseases between pharmaceutical innovation and the burden of disease in developed and developing countries. Two analyses indicate that the amount of pharmaceutical innovation is positively related to the burden of disease in developed countries but not to the burden of disease in developing countries.*

150. Lichtenberg FR. The Impact of New Drug Launches on Longevity: Evidence from Longitudinal Disease-Level Data From 52 Countries, 1982-2001. *International Journal of Health Care Finance and Economics*. 2005; 5:47-73.

<http://www.ncbi.nlm.nih.gov/pubmed/15714263>

*The author used drug launch data from MIDAS™ to perform an econometric analysis of the effect of new drug launches on longevity. Under conservative assumptions, estimates imply that the average annual increase in life expectancy of the entire population resulting from new drug launches is about one week and that the incremental cost effectiveness ratio is about \$6,750 – far lower than most estimates of the value of a statistical life-year.*

151. Lee WC, Hoffmann MS, Arcona S, D'Souza J, Wang Q, Pashos CL. A Cost Comparison of Alternative Regimens for Treatment-Refractory Partial Seizure Disorder: An Econometric Analysis. *Clinical Therapeutics*. 2005;27:1629-38.

<http://www.ncbi.nlm.nih.gov/pubmed/16330300>

*The authors used IMS LifeLink™: Health Plan Claims data to examine the economic costs associated with treatment-refractory partial seizure disorder and to compare the costs of two alternative approaches: a switch to oxcarbazepine monotherapy or the addition of another antiepileptic drug. Patients who had a drug added on were significantly more likely than those who were switched to have an emergency room visit after the failure of the initial regimen.*



152. Stempel DA, McLaughlin TP, Stanford RH. Treatment Patterns for Pediatric Asthma Prior to and After Emergency Department Events. *Pediatric Pulmonology*. 2005;40:310-5.  
<http://www.ncbi.nlm.nih.gov/pubmed/16010682>  
*The authors used IMS LifeLink™: Health Plan Claims data to describe the asthma treatment patterns in children aged 1-17 years in the year prior to and 2 months after an emergency department (ED) event. They found that an ED event results in only an incremental and transient increase in inhaled corticosteroid-containing controller treatment.*
153. Joyce AT, Harrison DJ, Loebel AD, Ollendorf DA. Impact of Atypical Antipsychotics on Outcomes of Care in Schizophrenia. *The American Journal of Managed Care*. 2005;11:S254-61.  
<http://www.ncbi.nlm.nih.gov/pubmed/16180964>  
*The authors used IMS LifeLink™: Health Plan Claims data to compare persistence, compliance, and psychiatric treatment costs in adults with schizophrenia having claims for atypical antipsychotics from 2001 through 2003. Patients initiated on ziprasidone had longer persistence, better compliance, and greater decreases in psychiatric-related costs than those initiated on other atypicals.*
154. Schatz M, Leibman C. Inhaled Corticosteroid Use and Outcomes in Pregnancy. *Annals of Allergy, Asthma, & Immunology*. 2005;95:234-8.  
<http://www.ncbi.nlm.nih.gov/pubmed/16200813>  
*The authors used IMS LifeLink™: Health Plan Claims data to examine asthma medication use and asthma-related health care use before and during pregnancy among women age 15-45 with both a pregnancy and asthma claim. They found that for patients using an inhaled corticosteroid before pregnancy, the rate of asthma-related physician visits decreased and the number of emergency room visits was unchanged after pregnancy, whereas physician and emergency room visits increased after pregnancy for patients not using an inhaled corticosteroid before pregnancy.*
155. Lee WC, Arcona S, Thomas SK, Wang Q, Hoffmann MS, Pashos CL. Effect of Comorbidities on Medical Care Use and Cost Among Refractory Patients With Partial Seizure Disorder. *Epilepsy & Behavior*. 2005;7:123-6.  
<http://www.ncbi.nlm.nih.gov/pubmed/15939673>  
*The authors used IMS LifeLink™: Health Plan Claims data to assess the effect of comorbidities on medical care use and costs among patients with partial seizure disorder who were refractory to initial antiepileptic drug monotherapy based on analyses of claims collected for adult patients treated with monotherapy between 2000 and 2002. They found that for patients refractory to initial AED monotherapy, the presence of comorbidities, especially depression, was associated with a substantial increase in medical care use and costs.*
156. MacDougall C, Powell JP, Johnson CK, Edmond MB, Polk RE. Hospital and Community Fluoroquinolone Use and Resistance in *Staphylococcus Aureus* and *Escherichia Coli* in 17 US Hospitals. *Clinical Infectious Diseases*. 2005;41:435-40.  
<http://www.ncbi.nlm.nih.gov/pubmed/16028149>  
*The authors used Xponent™ to determine whether variability in hospital percentages of fluoroquinolone-resistant *E. coli* and methicillin-resistant *Staphylococcus aureus* (MRSA) were associated with fluoroquinolone use in hospitals and their surrounding communities. They found associations between*



*fluoroquinolone use in hospitals and methicillin resistance in S. aureus and between fluoroquinolone use in communities and fluoroquinolone resistance in E. coli in hospitals.*

157. Perfetto EM, Subedi P, Jumadilova Z. Treatment of Overactive Bladder: A Model Comparing Extended-Release Formulations of Tolterodine and Oxybutynin. *American Journal of Managed Care*. 2005;11(4 Suppl):S150-7.  
<http://www.ncbi.nlm.nih.gov/pubmed/16161388>  
*The authors used IMS LifeLink™: Health Plan Claims data to compare 1-year total healthcare costs for patients with overactive bladder initiating treatment with extended-release formulations of tolterodine and oxybutynin: tolterodine tartrate extended-release capsules (tolterodine ER) v. extended-release oxybutynin chloride (oxybutynin ER). Tolterodine ER users had lower monthly drug and medical costs, and a total average annual cost savings of \$204 per patient. Patients with overactive bladder were more likely to remain on original drug treatment taking tolterodine ER v. oxybutynin ER.*
158. Varadharajan S, Jumadilova Z, Girase P, Ollendorf DA. Economic Impact of Extended-Release Tolterodine Versus Immediate- and Extended-Release Oxybutynin Among Commercially-Insured Persons with Overactive Bladder. *The American Journal of Managed Care*. 2005;11:S140-9.  
<http://www.ncbi.nlm.nih.gov/pubmed/16161387>  
*The authors used IMS LifeLink™: Health Plan Claims data to examine levels of persistence and compliance as well as the economic impact of tolterodine ER v. oxybutynin IR or ER among commercially-insured patients with overactive bladder. Use of tolterodine ER resulted in comparable compliance to oxybutynin ER and longer duration of use relative to either form of oxybutynin.*
159. Wingard JR, Wood CA, Sullivan E, Berger ML, Gerth WC, Mansley EC. Caspofungin versus Amphotericin B for Candidemia: A Pharmacoeconomic Analysis. *Clinical Therapeutics*. 2005;27:960-969.  
<http://www.ncbi.nlm.nih.gov/pubmed/16117996>  
*The authors used National Sales Perspectives™ (NSP) to examine whether cost savings generated from the reduced rates of impaired renal function observed in a clinical trial would be enough to offset the higher acquisition cost of caspofungin relative to amphotericin B. They found that based only on differences in drug acquisition cost and renal toxicity, the use of caspofungin instead of amphotericin B in patients with candidemia may be a cost-saving strategy from a hospital's perspective.*
160. Ollendorf DA, Massarotti E, Birbara C, Burgess S. Frequency, Predictors, and Economic Impact of Upward Dose Adjustment of Infliximab in Managed Care Patients with Rheumatoid Arthritis. *Journal of Managed Care Pharmacy*. 2005;11:383-93.  
<http://www.ncbi.nlm.nih.gov/pubmed/15934797>  
*The authors used IMS LifeLink™: Health Plan Claims data to examine dosing patterns and costs among rheumatoid arthritis (RA) patients newly treated with infliximab between 2000 and 2002. They found that upward dose adjustment with infliximab was frequent and appeared to occur earlier in the drug therapy in 2002 v. 2000 and that upward dose adjustment was associated with significant increases in drug treatment costs.*

161. Rajagopalan R, Iyer S, Perez A. Comparison of Pioglitazone With Other Antidiabetic Drugs for Associated Incidence of Liver Failure: No Evidence of Increased Risk of Liver Failure with Pioglitazone. *Diabetes, Obesity, and Metabolism*. 2005;7:161-9.  
<http://www.ncbi.nlm.nih.gov/pubmed/15715889>  
*The authors used IMS LifeLink™: Health Plan Claims data to assess the incidence of liver failure in association with antidiabetic treatment using pioglitazone v. other oral antidiabetic medications. They found no evidence of increased risk of liver failure or hepatitis for patients initiating therapy on pioglitazone, compared to other oral antidiabetic agents.*
162. Hoffman JM, Shah ND, Vermeulen LC, Hunkler RJ, Hontz KM. Projecting Future Drug Expenditures – 2005. *American Journal of Health System Pharmacy*. 2005;62:149-67.  
<http://www.ncbi.nlm.nih.gov/pubmed/15700889>  
*The authors used National Sales Perspectives™ (NSP) and National Prescription Audit™ (NPA) to analyze drug expenditure trends in 2003 and 2004, project drug expenditures for 2005, and examine factors likely to influence drug expenditures.*
163. Joyce AT, Iacoviello JM, Nag S, Sajjan S, Jilinskaia E, Throop D, Pedan A, Ollendorf DA, Alexander CM. End Stage Renal Disease-Associated Managed Care Costs Among Patients With and Without Diabetes. *Diabetes Care*. 2004;27:2829-35.  
<http://www.ncbi.nlm.nih.gov/pubmed/15562193>  
*The authors used IMS LifeLink™: Health Plan Claims data to examine the direct costs of care before and after onset of end stage renal disease (ESRD) for patients with and without diabetes based on analyses of claims of patients with onset of ESRD between 1998 and 2002. The economic burden of ESRD in the year after onset is substantial, particularly among patients with diabetes.*
164. Packer C, Stevens A, Cook A, Raftery J. Diffusion of Thrombolysis for Acute Myocardial Infarction From 1981 to 2000 In England: Trend Analysis and Comparison With Need. *International Journal of Technology Assessment in Health Care*. 2004;20:531-536.  
<http://www.ncbi.nlm.nih.gov/pubmed/15609806>  
*The authors use MIDASTM to describe the adoption and take up of thrombolytic agents for acute myocardial infarction since 1980 in England and compare use with the estimated ceiling of need. They found that although there was a rapid initial uptake of thrombolysis in England, usage took 8 years to reach the ceiling of clinical need of 65% of patients with acute myocardial infarction, with many patients missing the opportunity to benefit.*
165. Rajagopalan R, Rosenson RS, Fernandes AW, Khan M, Murray FT. Association Between Congestive Heart Failure and Hospitalization in Patients With Type 2 Diabetes Mellitus Receiving Treatment With Insulin or Pioglitazone: A Retrospective Data Analysis. *Clinical Therapeutics*. 2004;26:1400-10.  
<http://www.ncbi.nlm.nih.gov/pubmed/15531002>  
*The authors used IMS LifeLink™: Health Plan Claims data to assess the congestive heart failure risk in patients with type 2 diabetes mellitus and to compare the association with CHF in those receiving pioglitazone and those receiving insulin. Pioglitazone therapy was associated with significantly lower incidence rates of CHF and inpatient hospitalization compared with insulin therapy.*

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*were commonly associated with anxiety disorders, with hypertension the most common non-psychiatric comorbidity (22%) and depression the most common psychiatric comorbidity (37%). Treatment charges were significantly higher for patients diagnosed with an anxiety disorder.*



## **ATTACHMENT 2**



# USING MOBILE PHONE ACTIVITY FOR DISASTER MANAGEMENT DURING FLOODS

**PARTNERS: GOV. OF MEXICO, UN WORLD FOOD PROGRAMME, TELEFONICA RESEARCH, UNIVERSIDAD POLITECNICA DE MADRID**  
**PROGRAMME AREA: HUMANITARIAN ACTION**



## SUMMARY

Natural disasters affect hundreds of millions of people worldwide every year. Emergency response efforts depend on the availability of timely information, such as the movement and communication behaviours of affected populations. As such, analysis of Call Detail Records (CDRs) collected by mobile phone operators reveal new, real-time insights about human behaviour during such critical events. In this study, mobile phone activity data was combined with remote sensing data to understand how people communicated during severe flooding in the Mexican state of Tabasco in 2009, in order to explore ways that mobile data can be used to improve disaster response. By comparing the mobile data with official population census data, the representativeness of the research was validated. The results of the study showed that the patterns of mobile phone activity in affected locations during and after the floods could be used as indicators of (1) flooding impact on infrastructure and population and (2) public awareness of the disaster. These early results demonstrated the value of a public-private partnership on using mobile data to accurately indicate flooding impacts in Tabasco, thus improving early warning and crisis management.

## MOBILE DATA FOR DISASTER MANAGEMENT

The lack of timely, accurate information about movement and communications of affected populations during natural disasters can limit the effectiveness of humanitarian response. However, the growing ubiquity of mobile phones has revealed new opportunities for accessing such information. Real-time mobile phone data can provide valuable insights about the behaviour of affected populations during a disaster. For example, recent research has demonstrated the potential of mobile phone data to help model malaria outbreaks in Kenya (Wesolowski et al., 2012) and study population movements after an earthquake in Haiti (Lu et al., 2011).

By examining mobile phone activity data before, during and after a disaster, a baseline understanding of emergency behaviour and capacity to measure the rate of disaster recovery can be established. This research explored how mobile data can be used to understand the impact of floods on human behaviour using the 2009 floods in Tabasco, Mexico, as a case study.

## A MULTIDISCIPLINARY CONSORTIUM

Starting on 31 October 2009, the state of Tabasco received four days of record-breaking rainfall (800mm, which was four times the November average). The resultant floods affected more than 200,000 people, and the state lost over USD 190 million in property damage.

Access to timely data about how the floods were affecting the population would have been useful in allocating emergency supplies, understanding where to target public warnings and how people were responding to the flooding.

Global Pulse worked with the Government of Mexico and several cross-sector partners to explore the potential of mobile data to provide such real-time information and access contextual

information such as ground truth data from the Tabasco region, civil protection information and census data. Expert partners in data analysis and humanitarian aid were engaged to execute the project.

Telefonica Research, division of a major telecommunications company in Mexico, collaborated with data scientists from the Technical University of Madrid to conduct research under the guidance of Global Pulse and with expert advice from the UN World Food Programme (WFP) specialists on humanitarian programmes and remote sensing.

## USING CALL RECORDS TO UNDERSTAND REACTIONS TO FLOODS

This study used mobile phone data combined with remote sensing data (satellite images), rainfall data, census and civil protection data. The data was provided by local mobile network operators in the form of Call Detail Records (CDRs), which are digital records of phone transactions. CDRs are generated when a phone connected to the mobile network makes or receives a phone call, or uses a service such as SMS.

The data used in the study covered the geographical area affected by the floods—Tabasco and part of Veracruz state—for nine months (July 2009 to March 2010). In order to protect customers' privacy, the CDRs were aggregated and anonymised.

Regional mobile phone activity during the Tabasco floods was compared with a baseline level of activity calculated with data collected the month prior to the floods from the same cell phone towers. Variation in the numbers of calls during floods compared to the baseline helped to show how affected populations behave in response to flooding.

## OUTCOMES & INSIGHTS

This research demonstrated that mobile phone data has the potential to provide real-time information on human behaviour for improved emergency management and humanitarian response.

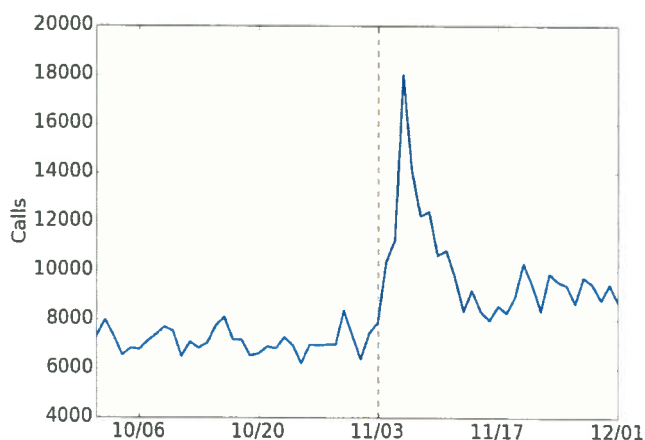
### HOW TO CITE THIS DOCUMENT:

UN Global Pulse, "Using Mobile Phone Activity for Disaster Management During Floods," 2014.

Insights gained from CDR analysis could also serve as a potential proxy indicator for flood impact and risk awareness.

Several specific insights emerged from the study:

- **Mobile phone data can be highly representative of the population:** The results of the CDR study were compared with the population distribution data from the 2010 census to measure the representativeness of the sample analysed using CDRs. The comparison showed a strong linear relation between official population statistics and population estimates based on CDR data. This validation shows the possibility of using mobile phone data as a proxy indicator of population in areas where other data sources are not available or reliable.
- **Civil protection warnings are not necessarily an effective way to raise awareness:** A civil protection warning was issued on the day of highest rainfall. One might expect such a warning to boost communications activity, but big spikes in activity were only observed in two cell phone towers along the most affected road (both also suffered power outages soon after the warning was issued, making the finding somewhat inconclusive). This result did show that emergency warnings did not cause a significant increase in communication activity in the affected areas.
- **Mobile activity can provide signals of flooding impact:** In the cell phone towers that did not show a spike in mobile activity during the emergency warning (which would indicate people making calls to spread the alert), the delay between highest rainfall and peak mobile activity was typically four days. This could mean that people communicated more as a result of the initial impacts of flooding, while the civil protection warning did not generate similar levels of awareness. This finding reveals important behavioural insights for emergency responders on how and when affected populations are made aware of a disaster.
- **The most calls were made from the most impacted areas:** When analysed against the baseline activity, it was found that cell phone towers with higher variations in the number of calls made during the floods were located in the most affected locations. (For the sake of comparison, on Christmas there were similar variations in activity compared to the baseline, but across the entire Tabasco region as opposed to specific locations.) This shows that the population does communicate more than usual in the wake of a disaster.



The comparison of mobile phone activity for the cell phone towers shows a significant increase in activity during the flood period, indicating the time period of the flood.

## CONCLUSIONS

The research findings demonstrated that real-time data on flood risk and public awareness is obtainable through CDRs, and could be a beneficial source of information for both emergency management and resilience assessment.

Analysing mobile activity during floods could be used to potentially locate damaged areas, efficiently assess needs and allocate resources (for example, sending supplies to affected areas). Identifying cell phone towers in the most affected areas of flooding might also serve to improve and target public communications and safety alerts, as well as help measure the effectiveness of such early warning announcements.

While it is clear that there is a need for further exploration and development of the methods used in this study, operationalizing data-driven decision making requires institutional capacities, policy frameworks and technological infrastructure that may not be in place within local or national disaster management offices.

Further research is recommended to explore how long it takes for mobile activity to stabilize and return to normal levels after a disaster, as a potential indicator of the rate of recovery for resilience measurement. It could also add dimension to decision makers' understanding of vulnerability and behaviour to combine analysis of CDRs with crowdsourced data from disaster-affected communities (for example, by conducting phone surveys via SMS).

## IMPLICATIONS & RECOMMENDATIONS

- Aggregated and anonymised mobile phone data can be used to assess risk awareness, understand the effect of public communications such as disaster alerts and measure the direct impact of floods.
- It is recommended that a more extensive validation of the results be conducted by examining other incidents covering similar disasters in other geographies.
- Assessment of how information provided by mobile phone data could be integrated with the current standard information flows used during emergency response is recommended.
- The study evidenced the potential value of public-private partnerships for mobile data sharing. Therefore it is recommended that a public-private partnership framework for mobile data sharing be developed that could be used in future emergency situations.

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### THE FULL TECHNICAL REPORT ON THIS STUDY IS AVAILABLE:

"Flooding through the Lens of Mobile Phone Activity." Pastor-Escuredo, D., Morales-Guzmán, A. et al, IEEE Global Humanitarian Technology Conference, GHTC 2014.

## **ATTACHMENT 3**





# MOBILE PHONE NETWORK DATA FOR DEVELOPMENT

*How analysis of Call Detail Records (CDRs) provides valuable information for humanitarian development action*

## WHAT ARE CDRs?

Whenever a mobile phone call or transaction is made, a Call Detail Record (CDR) is automatically generated by the mobile network operator. CDRs are a digital record of the attributes of a certain instance of a telecommunication transaction (such as the start time or duration of a call), but not the content. If you pay a monthly bill for your mobile phone services, take a look at the itemized list of calls: these are essentially CDRs.

An additional piece of information that gets recorded in CDRs by a mobile network operator is to which cell towers the caller and recipient's phones were connected at the time of the call. Because the mobile network operator knows the locations of their cell towers, it is possible to use CDRs to approximate the location of both parties. The spacing of cell towers, and thus the accuracy in determining the caller's location, varies according to expected traffic and terrain. Cell towers are typically spaced 2-3km apart in rural areas and 400-800m apart in densely populated areas. This geospatial information is extremely useful for humanitarian and development applications.

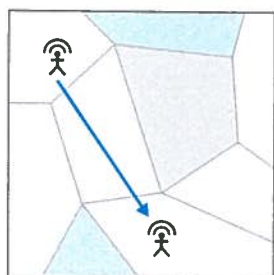
**HOW TO CITE THIS DOCUMENT:** United Nations Global Pulse (October 2013) Mobile Phone Network Data for Development.



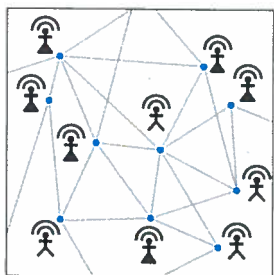
Internally, mobile phone companies use CDRs as the basis for billing customers and maintenance of their business, but CDRs can also serve other functions. Social scientists, researchers and public sector organizations have begun to research additional applications of CDRs. CDRs stored by a carrier have the potential to reveal personal information, so the records need to be altered in several important ways before being shared with third parties for analysis. First, all personally identifiable information must be removed. Typically, this is accomplished by encrypting the phone numbers of both caller and recipient. In many cases, the data from multiple callers may be aggregated to reduce risk of re-identification. Finally, data is often processed to contain the latitude and longitude from the cell tower closest to where the calls were placed. Consequently, by the time CDRs are shared, they look something like this:

CALLER ID	CALLER CELL TOWER LOCATION	RECIPIENT PHONE NUMBER	RECIPIENT CELL TOWER LOCATION	CALL TIME	CALL DURATION
X76VG588RLPQ	2°24' 22.14", 35°49' 56.54"	A81UTC93KK52	3°26' 30.47", 31°12' 18.01"	2013-11-07T15:15:00	01:12:02

While at first glance it is difficult to assess the value of this rather rudimentary data, remarkably useful information on human behavior may be derived from large sets of de-identified CDRs. There are at least three dimensions that can be measured:



1. **MOBILITY:** As mobile phone users send and receive calls and messages through different cell towers, it is possible to “connect the dots” and reconstruct the movement patterns of a community. This information may be used to visualize daily rhythms of commuting to and from home, work, school, markets or clinics, but also has applications in modeling everything from the spread of disease to the movements of a disaster-affected population.



2. **SOCIAL INTERACTION:** The geographic distribution of one's social connections may be useful both for building demographic profiles of aggregated call traffic and understanding changes in behavior. Studies have shown that men and women tend to use their phones differently, as do different age groups. Frequently making and receiving calls with contacts outside of one's immediate community is correlated with higher socio-economic class.



3. **ECONOMIC ACTIVITY:** Mobile network operators use monthly airtime expenses to estimate the household income of anonymous subscribers in order to target appropriate services to them through advertising. When people in developing economies have more money to spend, they tend to spend a significant portion of it on topping off their mobile airtime credit. Monitoring airtime expenses for trends and sudden changes could prove useful for detecting the early impact of an economic crisis, as well as for measuring the impact of programmes designed to improve livelihoods.

# CDR RESEARCH EXAMPLES

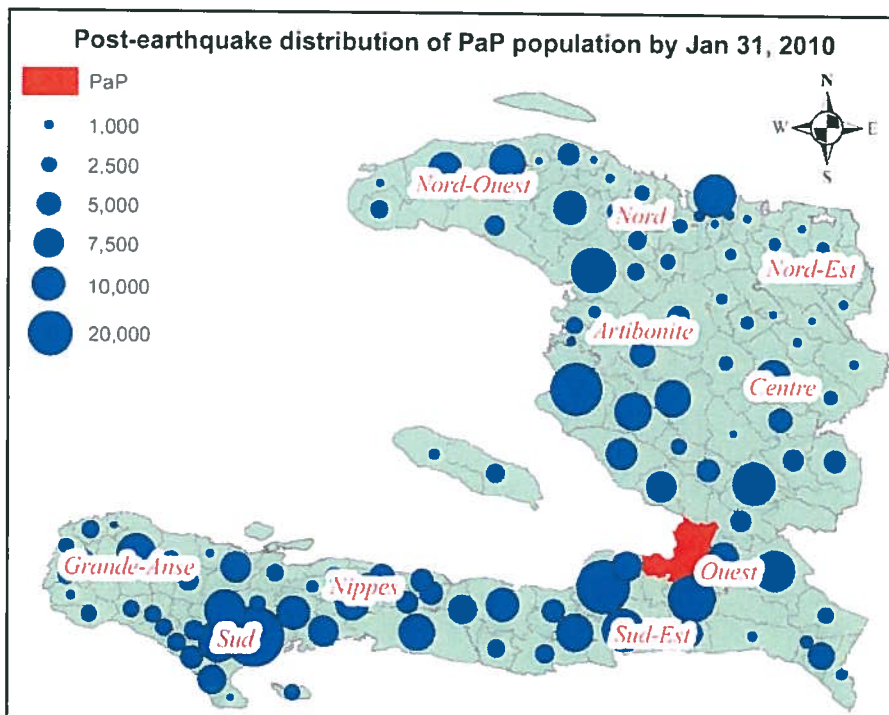
## 1. DISASTER RESPONSE

### EMERGENCY MIGRATION IN HAITI

Natural disasters give rise to emergency situations where providing time-sensitive information is crucial for fast allocation of resources, which aids the response and recovery process. In 2010, a research team led by Sweden's Karolinska Institute showed that CDRs can be used to direct emergency aid by analyzing mobile phone records covering the time period when people are fleeing natural disasters (Bengtsson et al., 2011).

After the Haitian earthquake in 2010, many people moved away from the capital city, Port Au Prince. Researchers asked Digicell, Haiti's biggest mobile phone operator, to share de-identified information about the cell towers that subscribers were using when making calls. The data included the position of 1.9 million subscriber identity modules (SIMs) in Haiti from 42 days before the earthquake to 158 days afterwards, allowing researchers to compare people's movement in the days preceding and following the earthquake. This study proved more accurate in measuring the number of displaced people and their destinations than the studies by the Haitian Civil Protection Agency, and the estimates of geographical distribution of people across Haiti were matched by estimates from a retrospective United Nations Population Fund study.

A follow-up study (Lu et al., 2012) found that the destinations of people who left the capital during the first three weeks after the earthquake were correlated with the locations to which they had significant social bonds. This research has shown that in the event of another natural disaster, population movement patterns may be significantly more predictable than has been previously understood. This type of analysis could be used to plan relief efforts more precisely.



**Mobility patterns have been identified by analyzing CDRs, providing more accurate post-analysis of population migration during the Haiti earthquake.**

**Figure 1:** The visualization shows the distribution of population migration from Port au Prince (PaP) after the Haiti earthquake obtained by analyzing CDRs. The circles represent locations that received at least 500 people from the estimated distribution of those in PaP on the day of the earthquake, but outside the city 19 days after the earthquake. Source: Lu et al., 2012.



## 2. HEALTH

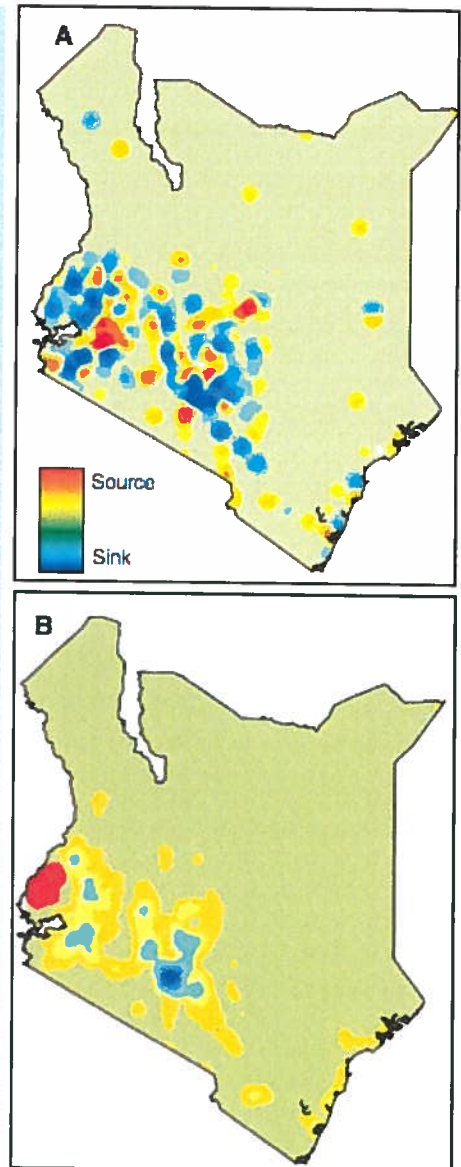
### MAPPING MALARIA IN KENYA

Malaria kills about one million people each year. In sub-Saharan Africa, 90% of malaria-related deaths are of children under five years old (Harvard School of Public Health, 2012). When an *Anopheles* mosquito bites an infected person, a small amount of blood infected with microscopic malaria parasites is withdrawn. When the mosquito bites someone else, the parasite is injected with the bite, and the transmission of malaria is complete, resulting in further spread of malaria. Therefore, to predict malaria's geographic spread, it is important to factor in not only information about the location of the mosquitoes that carry the malaria parasite, but also the behavior of people who might be infected.

Researchers analyzed mobile phone data to study the regional travel patterns of nearly 15 million mobile phone subscribers in Kenya, over the course of a year (Wesolowski et al., 2012). They estimated the daily locations of 14.8 million Kenyan mobile phone subscribers between June 2008 and June 2009, mapping calls and texts to one of the towers located within the boundaries of 692 settlements. The researchers analyzed the mobile phone data together with a simple malaria transmission model based on infection prevalence data, and in doing so were able to map routes of malaria parasite dispersal. The study included people who became infected after residing in areas where the disease broke out, and those who visited areas with outbreaks, became infected and returned home. After analyzing the CDR data and using the transmission model, scientists were able to map the specific locations where malaria outbreaks originated, and the locations where the disease had a higher probability of spreading. They found that a large proportion of "imported" infections—for example, infections that are carried by people moving from one place to another—end up in Nairobi, with infected residents returning there after journeys to hot spots such as Lake Victoria.

The study indicates that assessing connectivity among different regions of Kenya can help estimate costs for regional elimination strategies, identify 'source' regions and pinpoint anticipated hot spots. These hot spots can then be targeted with use of insecticides, drugs and bed-nets and with measures such as reducing stagnant water and destruction of old tires. On a broader scale, this analysis can be used to identify the high-volume human traffic between regions that increases transmission rates, and then communicate risks to travelers to alter their behaviors, restrict travel and employ surveillance mechanisms in high-risk areas.

**By analyzing the regional travel patterns of millions of mobile subscribers, researchers were able to map the specific locations to which malaria had a higher probability of spreading.**



**Figure 2:** Figure shows sources and sinks of human travel and parasites. Kernel density maps show ranked sources (red) and sinks (blue) of human travel (2A) and total parasite movement (2B) in Kenya, where each settlement was designated as a relative source or sink based on yearly estimates. Source: Wesolowski et al., 2012.

# COMBATING H1N1 FLU IN MEXICO

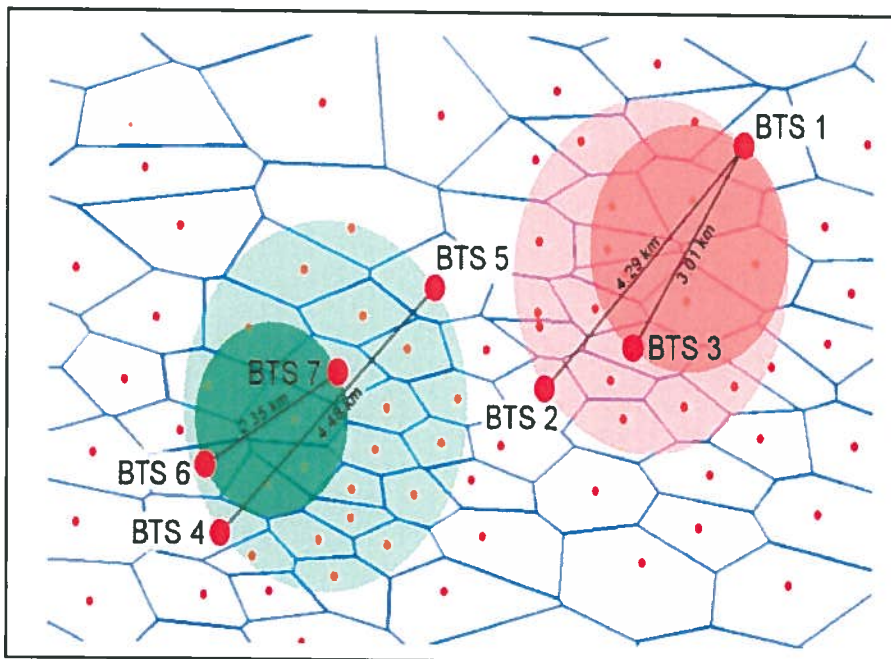
To control the spread of the H1N1 flu epidemic in 2009, the Mexican government imposed mobility restrictions on citizens. Understanding and quantifying the effect of such restrictions had not been adequately studied on a large scale before. Researchers measured the impact of the policies taken by the government to limit human mobility, using CDRs from one million anonymized customers in one of the most H1N1-affected Mexican states (Frias-Martinez et al., 2012). The data covered a period of January to May 2009. The government issued alerts in three stages: a medical alert (stage one), closing schools and universities (stage two) and suspension of all non-essential activities (stage three). It was found that up to 80% of the population reduced their mobility during stages two and three. However, the analysis also revealed an increase in the number of visitors to the airport before the suspension of all non-essential activities (stage three). This behavior might have limited the containment causing an undesired spread of the epidemic. Despite this, the results indicated that the mandates managed to reduce the peak number of individuals infected by the virus and postponed the peak of the pandemic by two days, allowing authorities to react faster to control the epidemic.

**Quantitative analysis of CDR data allowed researchers to measure the effectiveness of government mandates on people's mobility during H1N1 outbreak in Mexico.**



## H1N1

H1N1, or swine flu, is a potentially fatal subtype of the human influenza virus. H1N1 was the source of a worldwide pandemic in 2009, including in the United States and Mexico.



**Figure 3:** The visual shows the geographical region where the daily activities of an individual take place—the area of influence—for two individuals (one marked in green and the other in red). The bigger circles represent the mobility behavior under normal circumstances and the smaller circles represent the mobility behavior under the epidemic alert period. The red dots represent mobile tower stations (labeled BTS). In the case of the region marked with red, the baseline diameter of mobility is 4.29km (defined by BTS1 and BTS2). During the alert period, the diameter is reduced to 3.01km (the distance between BTS1 and BTS3). For the region marked in green, the baseline period has a diameter of 4.48km (defined by BTS4 and BTS5), and for the alert period the diameter is reduced to 2.35km (defined by BTS6 and BTS7). Source: Frias-Martinez et al., 2012.



### 3. SOCIO-ECONOMICS

#### UNDERSTANDING SOCIO-ECONOMIC INDICATORS IN THE UK

Prior studies have shown that economic opportunities are likely to come from contacts outside of tightly-knit local social groups. However, the correlation between network diversity and a population's economic well-being had not previously been quantified. To better understand this relationship, researchers studied CDRs for August 2005 in the UK (Eagle et al., 2010). The data contained over 90% of the country's mobile phones and almost 100% of the residential and business landlines. Researchers coupled this data with census information on socio-economic well-being from the UK Government's Index of Multiple Deprivation. The findings revealed that the diversity of individuals' relationships is strongly correlated with the economic development of communities. Researchers were able to validate a central assumption that was untested at the population level: that more diverse ties correlate with better access to social and economic opportunities. Although further research is needed, this valuable insight is particularly relevant to policymakers engaged in targeted poverty reduction initiatives.



**Figure 4:** This is an image of regional communication diversity and socioeconomic ranking for England. Communities with diverse communication patterns were found to rank higher (represented from light blue to dark blue) than the regions with more insular communication. This implies that communication diversity is a key indicator of an economically healthy community. Source: Eagle et al., 2010.



## PROVIDING PROXY CENSUS MAPS IN LATIN AMERICA

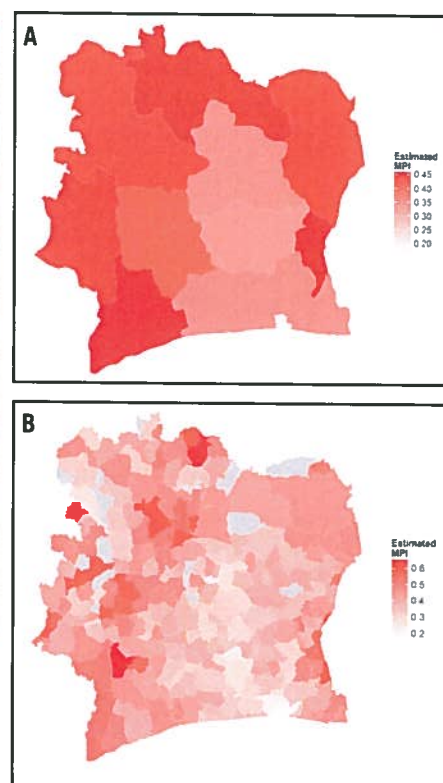
This study (Frias-Martinez V, Virsesa, 2012), like the previous example regarding socio-economics in the UK (Eagle et al., 2010), focuses on socio-economic factors and their relationship to cell phone usage in Latin America. Researchers at Telefonica Research in Spain studied whether specific gender, age or socio-economic groups use mobile phones in different ways, using a new analytical approach that combined CDRs with countrywide census data gathered by the National Statistical Institute. The data set contained five months of CDRs from over ten million subscribers across twelve cities. Results showed a strong correlation between the socio-economic level of a person and the expenses, reciprocity of communications, physical distance with his/her contacts and the geographical areas around which people move. The study was also able to provide a method to approximate socio-economic indicators from calling patterns, which could provide an affordable tool in the context of resource-constrained economies.

## ESTIMATING POVERTY LEVELS IN CÔTE D'IVOIRE

In another study (Smith et al., 2012), researchers used CDRs to map poverty levels in Côte d'Ivoire. No full survey of the country's population has been published since a civil war in the 1990s. Researchers used anonymized CDRs of five million Orange telecommunications customers between December 2011 and April 2012 to assess both the level of activity among subscribers and locations where calls were made. Higher levels of mobile communication and wider range of calls are a proxy indicator for prosperity. Using this data, poverty levels of eleven regions of Côte d'Ivoire were quantified. The estimate was validated when compared with a multi-dimensional poverty index created by University of Oxford, which uses indicators such as poor health, lack of education, inadequate living standard and threat from violence among other factors. This research validated the possibility of making poverty maps using CDRs.

The previous three studies show that in countries where information regarding census, socioeconomic levels or poverty indicators is lacking, CDRs may be used to estimate these variables on an ongoing basis, thus augmenting and complementing survey data.

**CDRs can provide a proxy indicator for assessing regional poverty levels, and can valuably augment national surveys in estimating changes associated with a growing economy.**

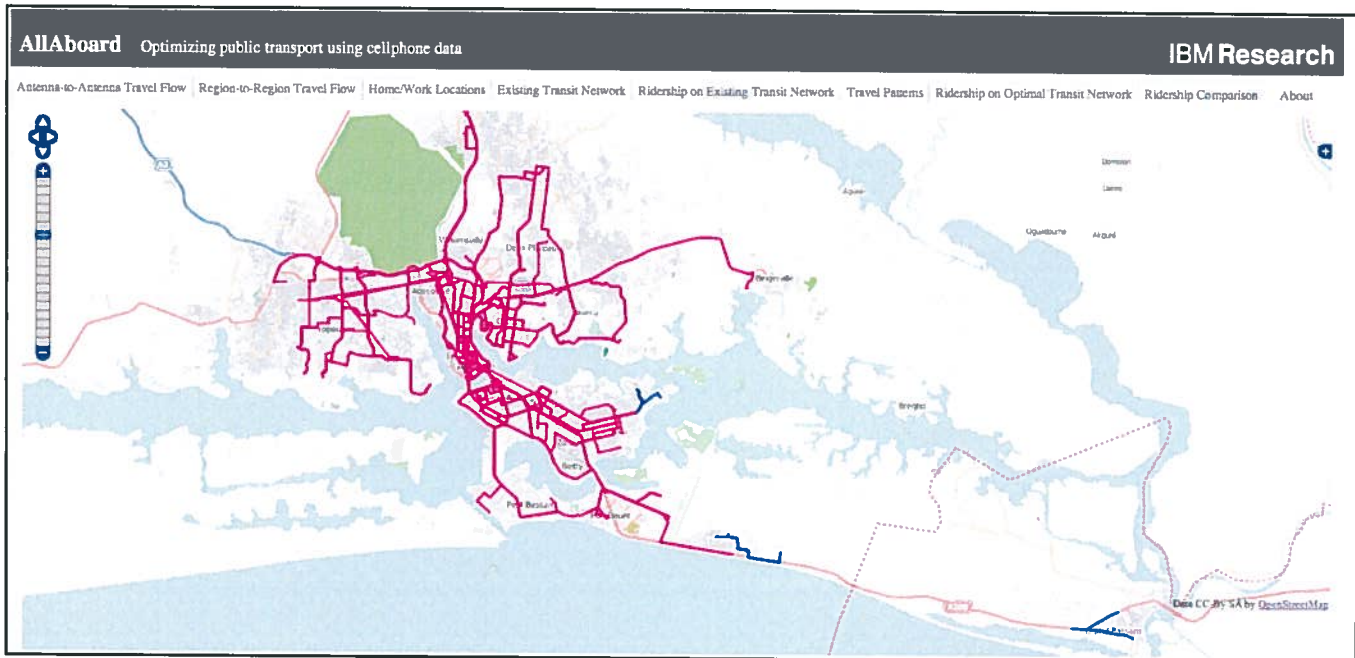


**Figure 5.** Figure 5A shows poverty map estimated based on the antennas in the eleven major regions of Cote d'Ivoire, where the darker areas indicate higher estimated poverty level. Figure 5B shows the Department poverty levels as approximated by the model used on regional level indicating the finer granularity possible when using CDRs. Source: Smith et al., 2012.

## 4. TRANSPORTATION

### OPTIMIZING TRANSPORT NETWORKS IN ABIDJAN

Rapid urbanization in developing countries has increased pressure on infrastructure such as road networks. Roads and public transportation systems become saturated, and people lose a great deal of time traveling from home to work, which in turn has a collective cost on the burgeoning economies. Researchers at IBM's AllAboard project have shown it is possible to monitor citizens' travel routes and use data-driven insights to better plan and manage transportation services (Berlingiero et al., 2013). The data analyzed included CDRs shared by Orange for 500,000 users over a five month period, which were used to pinpoint locations based on cell towers used when making calls or using a mobile-based service. The researchers studied CDR data, mapped against 85 bus routes in Abidjan, Ivory Coast's largest city, where the bus transport network spans 539 buses, 5,000 mini-buses and 11,000 shared taxis. Their findings allowed the researchers to suggest a partial solution to the city's congestion: add four routes to Abidjan's existing infrastructure and extend another route. This optimized network would reduce travel time by 10%. Such a provisioning method using CDRs would be useful for better urban planning and public transportation.



**Figure 6:** This image shows the existing public transport network (SOTRA) in Abidjan and additional routes suggested by the study.  
Source: Berlingiero et al., 2013.

**By analyzing CDR data, scientists mapped new routes to decongest Abidjan's crowded roads, which would reduce travel time by 10%.**



# PRIVACY CHALLENGES

There has yet to be a commonly accepted definition of the term “privacy.” As defined by OECD, privacy is “an individual’s freedom from excessive intrusion in the quest for information and an individual’s ability to choose the extent and circumstances under which his or her beliefs, behaviours, opinions and attitudes will be shared with or withheld from others” (OECD, 2005). The majority of risks associated with the misuse of data concern *personal data* or *personally identifiable information*. For this reason, anonymization is common practice when conducting Big Data research.

Robust anonymization of data has been recognized as a critical component of successful research, and academia conforms to strict institutional standards for ethical use of subject data. However, there is increasing awareness regarding the possibility of re-identification of anonymized data. In the Big Data research field, *linkability* refers to the cross-referencing of multiple anonymized data sets, which can be used to recover the identities of people whose data has been anonymized.

It remains true that the safest way to preserve privacy is to irreversibly anonymize and aggregate data sets, but experts continue to explore how to preserve privacy while keeping data sets granular enough to yield valuable insights for public good or social science research.

Several studies have analyzed the exact threshold at which individuals become identifiable. Director of the Harvard University Data Privacy Lab, Dr. Latanya Sweeney, introduced the concept of *k-anonymity*, a way to quantify the order of the risk of personal identification from a data set which decreases in magnitude as the data is made artificially less granular (Sweeney, 2002).

Another recent project used mobility data from 1.5 million mobile phone subscribers in a small Western country, where the location of an individual was specified hourly with a spatial resolution equal to that given by the carrier’s antennae in a small Western country, to demonstrate that just four spatio-temporal points were enough to show uniqueness of 95% of the individuals (de Montjoye et al., 2013). By understanding the privacy bounds of human mobility, the data can be ‘coarsened,’ or made less specific, in order to minimize the chance of personal identification.

Data linkability has also been heavily considered in the health sector. Studying the risks of re-identification, Professor Khaled El Emam offered a system that determines to what degree data sets should be de-identified before release (El Emam, 2010). He suggests the risk can be quantified as a *maximum* level—which is equivalent to the concept of *k-anonymity*—and quantified as an *average* level, the latter being more appropriate for non-public data releases (El Emam, 2013).

Refraining from sharing one’s personal information, even when tightly controlled and in an anonymised or aggregated form, is clearly appealing on an individual level. However, professor and privacy lawyer Jane Yakowitz examines privacy risks versus the value of Big Data for research, and argues that this comes at the greater cost of losing significant policy insights which rely on a large representative sample of data (Yakowitz, 2011).

Ethical guidelines, legal frameworks and technological solutions for protected data sharing are maturing in parallel with the evolution of mobile phone usage around the world and the increased use of Big Data for development and humanitarian purposes. When privacy principles are at the center of the process in any research or technological development, it is referred to as “privacy by design.” Proceeding in this way promotes compliance with existing ethical standards by implementing privacy protective mechanisms from the beginning.



## PRIVACY BY DESIGN

Privacy by design is a practice that embeds privacy and data protection principles in all research or technological development and across the entire project life cycle.

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## ABOUT GLOBAL PULSE

Global Pulse is an innovation initiative of the United Nations Secretary-General exploring how new, digital data sources and real-time analytics technologies can help policymakers gain a better understanding of changes in human well-being and emerging vulnerabilities. Through strategic public-private partnerships, innovative analysis and open source technology development across its network of Pulse Labs, Global Pulse develops approaches for applying Big Data to 21st century development challenges.

The three-fold implementation strategy includes:

1. **Research & Development:** Conducting research to discover new proxy indicators for tracking development progress and emerging vulnerabilities in real time, and assembling a toolkit of technologies for analyzing real-time data.
2. **Big Data partnerships:** Forging partnerships with companies, organizations, researchers and academic institutions that have the data, technology and analytical expertise needed for Big Data for Development projects and advocacy.
3. **Pulse Lab network:** Establishing an integrated network of country-level innovation centers that bring together government experts, UN agencies, academia and the private sector to prototype and pilot approaches at country level.

For more information please visit [www.unglobalpulse.org](http://www.unglobalpulse.org).

**ATTACHMENT 4**

## Original Investigation

# Antidepressant Dose, Age, and the Risk of Deliberate Self-harm

Matthew Miller, MD, ScD; Sonja A. Swanson, ScM; Deborah Azrael, PhD; Virginia Pate, PhD, PhD;  
Til Stürmer, MD, ScD

**IMPORTANCE** A comprehensive meta-analysis of randomized trial data suggests that suicidal behavior is twice as likely when children and young adults are randomized to antidepressants compared with when they are randomized to placebo. Drug-related risk was not elevated for adults older than 24 years. To our knowledge, no study to date has examined whether the risk of suicidal behavior is related to antidepressant dose, and if so, whether risk depends on a patient's age.

**OBJECTIVE** To assess the risk of deliberate self-harm by antidepressant dose, by age group.

**DESIGN, SETTING, AND PARTICIPANTS** This was a propensity score-matched cohort study using population-based health care utilization data from 162 625 US residents with depression ages 10 to 64 years who initiated antidepressant therapy with selective serotonin reuptake inhibitors at modal or at higher than modal doses from January 1, 1998, through December 31, 2010.

**MAIN OUTCOMES AND MEASURES** *International Classification of Diseases, Ninth Revision (ICD-9)* external cause of injury codes E950.x-E958.x (deliberate self-harm).

**RESULTS** The rate of deliberate self-harm among children and adults 24 years of age or younger who initiated high-dose therapy was approximately twice as high as among matched patients initiating modal-dose therapy (hazard ratio [HR], 2.2 [95% CI, 1.6-3.0]), corresponding to approximately 1 additional event for every 150 such patients treated with high-dose (instead of modal-dose) therapy. For adults 25 to 64 years of age, the absolute risk of suicidal behavior was far lower and the effective risk difference null (HR, 1.2 [95% CI, 0.8-1.9]).

**CONCLUSIONS AND RELEVANCE** Children and young adults initiating therapy with antidepressants at high-therapeutic (rather than modal-therapeutic) doses seem to be at heightened risk of deliberate self-harm. Considered in light of recent meta-analyses concluding that the efficacy of antidepressant therapy for youth seems to be modest, and separate evidence that antidepressant dose is generally unrelated to therapeutic efficacy, our findings offer clinicians an additional incentive to avoid initiating pharmacotherapy at high-therapeutic doses and to closely monitor patients starting antidepressants, especially youth, for several months.

← Invited Commentary

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The US Food and Drug Administration's (FDA) meta-analysis of antidepressant trials found that children randomized to receive antidepressants had twice the rate of suicidal ideation and behavior compared with children who received placebo.<sup>1</sup> Meta-analysis of adult placebo-controlled trials found that participants 18 to 24 years of age randomized to receive antidepressants were at elevated risk of suicidal thoughts and behavior, those 25 to 64 years of age were at equal risk, and those 65 years or older were at lower risk.<sup>2</sup>

Nonrandomized studies can address some of the limitations of existing randomized antidepressant trials, including their short duration, the small number of suicide-related events observed, the homogeneity of participants, and the different antidepressant types and doses administered across trials. Nonrandomized studies, however, require careful consideration of confounding, especially with respect to the indication for using antidepressants in the first place.<sup>3-8</sup> To minimize such confounding, rigorous observational studies have focused on treatment initiation<sup>9</sup> and avoided nonuser comparison groups.<sup>10,11</sup> In addition, because suicide attempts may lead clinicians to prescribe antidepressants, careful research has eschewed before vs after study designs and instead focused on whether deliberate self-harm (DSH) differs across antidepressant classes and agents. In general, these studies have reported either no evidence of differential risk across class or agent, or small and inconsistent differences.<sup>12-19</sup>

Patients exposed to higher doses of antidepressants tend to experience more frequent and severe adverse effects, including putatively suicidogenic ones, such as akathisia,<sup>20-27</sup> compared with patients prescribed lower doses.<sup>28,29</sup> Despite this dose-related phenomenon and scant evidence that higher doses are more effective in alleviating depressive symptoms,<sup>28,29</sup> neither the FDA meta-analyses nor any observational study to date has examined whether the risk of suicidal behavior is related to antidepressant dose. The current study takes up this question among a cohort of initiators of antidepressant therapy and addresses as well whether dose-related risk is modified by a patient's age.

## Methods

### Patients and Data Source

The current cohort study involved 162 625 patients 10 to 64 years of age with a depression diagnosis who initiated therapy with selective serotonin reuptake inhibitors (SSRIs) from January 1, 1998, through December 31, 2010. Initiation was defined as filling an SSRI antidepressant prescription without evidence of prescriptions fills for any class of antidepressants in the preceding 12 months. Analyses focus on the first treatment episode. Eligibility required evidence of depression as indicated by an *International Classification of Diseases, Ninth Revision (ICD-9)* code for depression recorded during the 12 months prior to antidepressant initiation (Table 1 and Table 2). To allow uniform assessment and selection of all patients, participants were required to be actively enrolled in a contributing health plan for the 15 months prior to initiation (ie, 12 months for baseline covariate assessment + 2 months [ie, a 60-

day grace period] + 30 days [ie, the usual days' supply]). The cohort study was based on observational health care utilization data. Informed consent was not obtained for persons in the data set. The study was exempted by the Harvard School of Public Health institutional review board.

The PharMetrics Claims Database used in this study comprises commercial health plan information obtained from managed care plans throughout the United States. The database includes medical and pharmaceutical claims for over 61 million unique patients from over 98 health plans, and includes *International Classification of Diseases, Ninth Revision, Clinical Modification (ICD-9-CM)* inpatient and outpatient diagnoses, Current Procedural Terminology 4 and Healthcare Common Procedure Coding System procedure codes, and both retail and mail-order records of all reimbursed dispensed prescriptions. Our analyses focus on persons younger than 65 years, the age group for which our data are nationally representative of the commercially insured and for which we had sufficient sample size.

### Antidepressant Medication Exposure

We restricted analyses to new initiators of therapy with antidepressants, rather than prevalent users, because such a design allows us to detect adverse events that follow soon after therapy with a drug is started, assess risks over time, and control for selection bias with baseline patient characteristics that are not influenced by effects of antidepressant treatment. Incident user designs also mitigate potential bias owing to a patient's drug exposure history influencing current treatment assignment. To further minimize potential confounding by the class of antidepressants prescribed and the use of unusual agents, analyses were restricted to patients initiating therapy with the most commonly prescribed SSRIs (citalopram hydrobromide, sertraline hydrochloride, and fluoxetine hydrochloride), which together constitute 67% of all SSRI therapy initiated.

Patients were assigned to 1 of 3 empirically derived dose categories (modal dose, higher than modal, lower than modal) based on the distribution of doses prescribed among antidepressant initiators. In the 10- to 24-year cohort there were 32 504 in the modal dose category, 7117 in the higher than modal dose category, and 14 542 in the below modal dose category; in the 25- to 64-year-old cohort there were 99 316 in the modal dose category, 23 668 in the higher than modal dose category, and 20 065 in the lower than modal dose category. The modal daily dose for citalopram hydrobromide, sertraline hydrochloride, and fluoxetine hydrochloride were, respectively, 20 mg/d, 50 mg/d, and 20 mg/d. Participants who received doses below our empirically derived modal dose often received doses considered below the minimal effective dose for depression<sup>30-32</sup>; to minimize potential confounding, analyses were restricted to participants who received modal dose or doses higher than the modal dose. Patients receiving index doses in excess of the recommended maximum therapeutic dose constituted less than 2% of all patients (112 in the 10- to 24-year-cohort and 677 in the 25- to 64-year-old cohort) and, for similar reasons, were excluded from analysis; maximum daily doses for citalopram hydrobromide, sertraline



Table 1. Baseline Characteristics of the Study Cohort, by Dose, Ages 10 to 24 Years

Baseline Characteristic <sup>a</sup>	Cohort, No. (%)			
	Prematched <sup>b</sup>		Propensity Score-Matched	
	Modal Dose (n = 32 504)	High Dose (n = 7117)	Modal Dose (n = 13 948)	High Dose (n = 7108)
Age, y				
10-15	6346 (19.5)	1423 (20.0)	2964 (21.3)	1421 (20.0)
16-19	14 995 (46.1)	3182 (44.7)	6104 (43.8)	3179 (44.7)
20-24	11 163 (34.3)	2512 (35.3)	4880 (35.0)	2508 (35.3)
Male sex	10 949 (33.7)	2704 (38.0)	5054 (36.2)	2698 (38.0)
Severity level of depression diagnosis <sup>c</sup>				
Tier 1: Primary inpatient diagnosis ≤30 d preindex	1296 (4.0)	315 (4.4)	601 (4.3)	315 (4.4)
Tier 2: Primary inpatient diagnosis 31-360 d preindex	202 (0.6)	74 (1.0)	128 (0.9)	72 (1.0)
Tier 3: Nonprimary inpatient diagnosis ≤360 d preindex	616 (1.9)	194 (2.7)	364 (2.6)	191 (2.7)
Tier 4: ≥2 Outpatient diagnoses ≤360 d preindex	17 707 (54.5)	4425 (62.2)	8670 (62.2)	4421 (62.2)
Tier 5: 1 Inpatient diagnosis ≤360 d preindex	12 683 (39.0)	2109 (29.6)	4185 (30.0)	2109 (29.7)
Anxiety disorders	6808 (20.9)	1841 (25.9)	3501 (25.1)	1836 (25.8)
Deliberate self-harm	451 (1.4)	106 (1.5)	183 (1.3)	104 (1.5)
Primary inpatient depression diagnosis	1498 (4.6)	389 (5.5)	729 (5.2)	387 (5.4)
No depression diagnosis within 30 d of index date	3892 (12.0)	1327 (18.6)	2389 (17.1)	1318 (18.5)
Suicidal ideation ≤30 d prior to anxiety disorder initiation (2006 forward only)	522 (2.6)	113 (2.9)	254 (3.1)	113 (2.9)
Attention-deficit/hyperactivity disorder	3218 (9.9)	856 (12.0)	1577 (11.3)	854 (12)
Cognitive impairment or dementia	10 (0.0)	3 (0.0)	6 (0.0)	3 (0.0)
Personality disorder	288 (0.9)	74 (1.0)	145 (1.0)	74 (1.0)
Substance abuse	2787 (8.6)	655 (9.2)	1243 (8.9)	652 (9.2)
Use of any opiate	7239 (22.3)	1486 (20.9)	2908 (20.8)	1484 (20.9)
Distinct drug prescriptions filled, No.				
1 (antidepressant only)	5082 (15.6)	1349 (19.0)	2557 (18.3)	1346 (18.9)
2-3	9967 (30.7)	2229 (31.3)	4428 (31.7)	2226 (31.3)
4-5	7379 (22.7)	1546 (21.7)	3056 (21.9)	1546 (21.8)
6-9	7212 (22.2)	1400 (19.7)	2763 (19.8)	1399 (19.7)
≥10	2864 (8.8)	593 (8.3)	1144 (8.2)	591 (8.3)
≥1 Psychiatric hospitalizations	1554 (4.8)	418 (5.9)	774 (5.5)	413 (5.8)
Outpatient visits, No.				
0-4	7308 (22.5)	1447 (20.3)	2818 (20.2)	1447 (20.4)
5-9	9635 (29.6)	2021 (28.4)	4010 (28.7)	2021 (28.4)
10-19	9904 (30.5)	2236 (31.4)	4461 (32.0)	2235 (31.4)
20-39	4715 (14.5)	1134 (15.9)	2165 (15.5)	1132 (15.9)
≥40	942 (2.9)	279 (3.9)	494 (3.5)	273 (3.8)
Hospitalizations				
≥1 for substance abuse	205 (0.6)	59 (0.8)	114 (0.8)	59 (0.8)
≥1 for other reasons	2148 (6.6)	468 (6.6)	922 (6.6)	467 (6.6)
Cancer				
Lung	2 (0.0)	2 (0.0)	2 (0.0)	2 (0.0)
Colorectal	3 (0.0)	0	0	0
Other malignant neoplasm	153 (0.5)	45 (0.6)	80 (0.6)	45 (0.6)
Cardiac arrhythmias	554 (1.7)	148 (2.1)	261 (1.9)	148 (2.1)
Congestive heart failure	20 (0.1)	5 (0.1)	10 (0.1)	5 (0.1)
Arthritis	70 (0.2)	8 (0.1)	16 (0.1)	8 (0.1)
Cerebrovascular disease	72 (0.2)	19 (0.3)	37 (0.3)	19 (0.3)
Cluster headaches or migraines	1168 (3.6)	237 (3.3)	469 (3.4)	236 (3.3)
Diabetes mellitus	386 (1.2)	91 (1.3)	173 (1.2)	90 (1.3)
Disorders of the eye	17 (0.1)	1 (0.0)	2 (0.0)	1 (0.0)

(continued)

Table 1. Baseline Characteristics of the Study Cohort, by Dose, Ages 10 to 24 Years (continued)

Baseline Characteristic <sup>a</sup>	Cohort, No. (%)			
	Prematched <sup>b</sup>		Propensity Score-Matched	
	Modal Dose (n = 32 504)	High Dose (n = 7117)	Modal Dose (n = 13 948)	High Dose (n = 7108)
Gait or balance disorder	108 (0.3)	18 (0.3)	37 (0.3)	18 (0.3)
Postural hypotension	57 (0.2)	22 (0.3)	40 (0.3)	22 (0.3)
Hyperparathyroidism	5 (0.0)	0	0	0
Osteoarthritis	112 (0.3)	37 (0.5)	64 (0.5)	35 (0.5)
Osteoporosis	12 (0.0)	5 (0.1)	8 (0.1)	4 (0.1)
Parkinson disease	1	0	0	0
Seizures	216 (0.7)	63 (0.9)	118 (0.8)	61 (0.9)
Urinary incontinence	163 (0.5)	36 (0.5)	73 (0.5)	35 (0.5)
Physician prescriber type				
General practitioner or internist	14 430 (44.4)	2358 (33.1)	4694 (33.7)	2358 (33.2)
Psychiatrist	6735 (20.7)	2108 (29.6)	3970 (28.5)	2101 (29.6)
Other	11 339 (34.9)	2651 (37.3)	5284 (37.8)	2649 (37.2)
SSRI				
Citalopram hydrobromide	9500 (29.2)	1586 (22.3)	3238 (23.2)	1586 (22.3)
Fluoxetine hydrochloride	11 005 (33.9)	1203 (16.9)	2307 (16.5)	1203 (16.9)
Sertraline hydrochloride	11 999 (36.9)	4328 (60.8)	8403 (60.2)	4319 (60.8)

Abbreviation: SSRI, selective serotonin reuptake inhibitor.

<sup>a</sup> For our younger-aged cohorts, the strongest predictors of initiating therapy with high- rather than modal-dose antidepressants (when all factors in Table 1 and Table 2 are simultaneously adjusted) include having been admitted to a psychiatric hospital in the year prior to starting antidepressant therapy, having an internist (rather than a psychiatrist or other health professional) prescribe the initial antidepressant, taking no prescription medications other than the antidepressant initiated, and being prescribed sertraline rather than either fluoxetine or citalopram (see eTable 1 and eTable 2 in Supplement).

<sup>b</sup> From January 1, 1998, through December 31, 2010, 624 171 patients initiated

therapy with 1 of the study antidepressants, 607 538 initiated monotherapy. Of the 222 896 patients with baseline depression and no prior antidepressant use in the washout period, 202 605 were 10 to 64 years of age. Of these, 167 092 initiated therapy at or above the modal dose (166 253 within the therapeutic range (ie, excluding patients with subtherapeutic doses), and 162 605 did so without baseline bipolar disorder or schizophrenia (162 605 within the therapeutic range).

<sup>c</sup> *International Classification of Diseases, Ninth Revision* codes 296.2x, 296.3x, 298.0x, 300.4x, 309.0x, 309.1x, 311.xx, 293.83, 296.90, 309.28.

hydrochloride, and fluoxetine hydrochloride were, respectively, 40 mg/d, 200 mg/d, and 80 mg/d. Patients initiating therapy with more than 1 drug or with more than 1 dosing regimen were also excluded from analyses.

### Follow-up and Study End Point

Exposure status was assigned based on the initiated medication. Study follow-up began on the day after initiation of the first antidepressant therapy. When a dispensing occurred before the previous prescription should have run out, use of the new prescription was assumed to have begun the day after the end of the old prescription. Primary analyses used a 60-day grace period (≤60 days beyond the provided days' supply can elapse before censoring).

Patients were censored the date they switched agents, added other antidepressant agents, changed dose, 360 days after the index date, ended enrollment in their health insurance plan, engaged in DSH, or the end of the study period, whichever came first.

The first occurrence of DSH was our outcome of interest, and it was defined as a medical claim with an ICD-9 external cause of injury code (e-code) (E950.x-E958.x).

### Patient Characteristics

Baseline patient characteristics included age, sex, medical comorbidities, treatment history, and concomitant medication

use in the 12 months prior to initiation of antidepressant therapy. Psychiatric risk factors included the number of acute psychiatric hospitalizations, the number of acute hospitalizations for substance abuse, psychiatric comorbidity, and prior DSH. A hierarchy of depression was constructed as a function of the proximity of the most recent depression diagnosis to antidepressant initiation and whether the diagnosis was rendered during an inpatient stay or an outpatient visit.

### Statistical Analysis

Patients were divided into 2 age groups guided by the age-related risk of suicidal behavior identified in the FDA's meta-analyses (ages 10-24 years vs 25-64 years). We estimated propensity scores for treatment initiation of high vs modal dose for each age group separately based on the patient characteristics described in the previous subsection (age is modeled as a continuous variable within each cohort). Up to 2 patients receiving a modal dose were matched to every patient receiving a high dose using an adaptation of a published propensity score algorithm.<sup>33</sup> Thus, the research question we addressed is what would have happened, with respect to future DSH, if people who initiated high-dose therapy had instead initiated with modal-dose therapy.

Crude rates of DSH were calculated over the 1-year exposure period (ie, subject to censoring as described herein). Crude rates were also reported for 3 time periods after initiating

Table 2. Baseline Characteristics of the Study Cohort, by Dose, Ages 25 to 64 Years

Baseline Characteristic <sup>a</sup>	Cohort, No. (%)			
	Prematched <sup>b</sup>		Propensity Score-Matched	
	Modal Dose (n = 99 316)	High Dose (n = 23 668)	Modal Dose (n = 45 002)	High Dose (n = 23 637)
Age, y				
25-40	42 808 (43.1)	9622 (40.7)	18 619 (41.4)	9618 (40.7)
41-55	41 538 (41.8)	10 156 (42.9)	19 260 (42.8)	10 143 (42.9)
≥56	14 970 (15.1)	3890 (16.4)	7123 (15.8)	3876 (16.4)
Male sex	32 547 (32.8)	8381 (35.4)	15 672 (34.8)	8365 (35.4)
Severity level of depression diagnosis <sup>c</sup>				
Tier 1: Primary inpatient diagnosis ≤30 d preindex	836 (0.8)	321 (1.4)	563 (1.3)	321 (1.4)
Tier 2: Primary inpatient diagnosis 31-360 d preindex	126 (0.1)	80 (0.3)	102 (0.2)	77 (0.3)
Tier 3: Nonprimary inpatient diagnosis ≤360 d preindex	2105 (2.1)	736 (3.1)	1290 (2.9)	735 (3.1)
Tier 4: ≥2 Outpatient diagnoses ≤360 d preindex	48 237 (48.6)	13 610 (57.5)	25 532 (56.7)	13 585 (57.5)
Tier 5: 1 Outpatient diagnosis ≤360 d preindex	48 012 (48.3)	8921 (37.7)	17 515 (38.9)	8919 (37.7)
Anxiety disorders	20 844 (21.0)	5731 (24.2)	10 764 (23.9)	5719 (24.2)
Deliberate self-harm	217 (0.2)	68 (0.3)	119 (0.3)	68 (0.3)
Primary inpatient depression diagnosis	962 (1.0)	401 (1.7)	665 (1.5)	398 (1.7)
No depression diagnosis within 30 d of index date	15 710 (15.8)	6680 (28.2)	11 499 (25.6)	6649 (28.1)
Suicidal ideation ≤30 d prior to anxiety disorder initiation (2006 forward only)	406 (0.6)	115 (0.8)	244 (0.9)	115 (0.8)
Cognitive impairment or dementia	70 (0.1)	30 (0.1)	43 (0.1)	29 (0.1)
Personality disorder	462 (0.5)	184 (0.8)	299 (0.7)	178 (0.8)
Substance abuse	8853 (8.9)	2343 (9.9)	4265 (9.5)	2336 (9.9)
Use of any opiate	32 512 (32.7)	7422 (31.4)	14 469 (32.2)	7417 (31.4)
Distinct drug prescriptions filled, No.				
1 (antidepressant only)	9018 (9.1)	2892 (12.2)	5096 (11.3)	2877 (12.2)
2-3	23 047 (23.2)	5972 (25.2)	10 963 (24.4)	5963 (25.2)
4-5	20 807 (21.0)	4676 (19.8)	9117 (20.3)	4671 (19.8)
6-9	26 773 (27.0)	5828 (24.6)	11 395 (25.3)	5826 (24.6)
≥10	19 671 (19.8)	4300 (18.2)	8431 (18.7)	4300 (18.2)
≥1 Psychiatric hospitalizations	1025 (1.0)	419 (1.8)	698 (1.6)	416 (1.8)
Outpatient visits, No.				
0-4	18 846 (19.0)	4217 (17.8)	8087 (18.0)	4213 (17.8)
5-9	24 715 (24.9)	5479 (23.1)	10 549 (23.4)	5477 (23.2)
10-19	29 477 (29.7)	6890 (29.1)	13 130 (29.2)	6885 (29.1)
20-39	19 340 (19.5)	4982 (21.0)	9378 (20.8)	4971 (21.0)
≥40	6938 (7.0)	2100 (8.9)	3858 (8.6)	2091 (8.8)
Hospitalizations, No.				
≥1 for substance abuse	483 (0.5)	165 (0.7)	300 (0.7)	165 (0.7)
≥1 for other reasons	11 034 (11.1)	2720 (11.5)	5171 (11.5)	2716 (11.5)
Cancer				
Lung	203 (0.2)	50 (0.2)	96 (0.2)	50 (0.2)
Breast	125 (0.1)	25 (0.1)	46 (0.1)	25 (0.1)
Colorectal	218 (0.2)	53 (0.2)	103 (0.2)	53 (0.2)
Prostate	272 (0.3)	62 (0.3)	126 (0.3)	62 (0.3)
Other malignant neoplasm	3155 (3.2)	803 (3.4)	1485 (3.3)	799 (3.4)
Attention-deficit/hyperactivity disorder	1259 (1.3)	474 (2.0)	781 (1.7)	467 (2.0)
Cardiac arrhythmias	3591 (3.6)	946 (4.0)	1760 (3.9)	944 (4.0)
Congestive heart failure	962 (1.0)	311 (1.3)	531 (1.2)	311 (1.3)
Arthritis	856 (0.9)	250 (1.1)	462 (1.0)	248 (1.0)
Cerebrovascular disease	1859 (1.9)	525 (2.2)	953 (2.1)	524 (2.2)
Diabetes mellitus	7514 (7.6)	2077 (8.5)	3640 (8.1)	1997 (8.5)

(continued)

Table 2. Baseline Characteristics of the Study Cohort, by Dose, Ages 25 to 64 Years (continued)

Baseline Characteristic <sup>a</sup>	Cohort, No. (%)			
	Prematched <sup>b</sup>		Propensity Score-Matched	
	Modal Dose (n = 99 316)	High Dose (n = 23 668)	Modal Dose (n = 45 002)	High Dose (n = 23 637)
Cluster headaches or migraines	4283 (4.3)	1164 (4.9)	2117 (4.7)	1161 (4.9)
Disorders of the eye	117 (0.1)	29 (0.1)	57 (0.1)	29 (0.1)
Gait or balance disorder	964 (1.0)	291 (1.2)	501 (1.1)	290 (1.2)
Postural hypotension	184 (0.2)	47 (0.2)	87 (0.2)	46 (0.2)
Hyperparathyroidism	141 (0.1)	34 (0.1)	70 (0.2)	34 (0.1)
Osteoarthritis	6004 (6.0)	1695 (7.2)	3034 (6.7)	1689 (7.1)
Osteoporosis	1479 (1.5)	365 (1.5)	689 (1.5)	365 (1.5)
Parkinson disease	94 (0.1)	17 (0.1)	36 (0.1)	17 (0.1)
Seizures	650 (0.7)	211 (0.9)	365 (0.8)	210 (0.9)
Urinary incontinence	1002 (1.0)	300 (1.3)	562 (1.2)	299 (1.3)
Physician prescriber type				
General practitioner or internist	59 059 (59.5)	11 501 (48.6)	22 791 (50.6)	11 500 (48.7)
Psychiatrist	11 012 (11.1)	4902 (20.7)	8132 (18.1)	4872 (20.6)
Other	29245 (29.4)	7265 (30.7)	14079 (31.3)	7265 (30.7)
SSRI				
Citalopram hydrobromide	37 172 (37.4)	6465 (27.3)	13 063 (29.0)	6465 (27.4)
Fluoxetine hydrochloride	27 061 (27.2)	3742 (15.8)	6834 (15.2)	3742 (15.8)
Sertraline hydrochloride	35 083 (35.3)	13 461 (56.9)	25 105 (55.8)	13 430 (56.8)

Abbreviation. SSRI, selective serotonin reuptake inhibitor.

<sup>a</sup> For the older-aged cohorts, the strongest predictors of being initiated with high- rather than modal-dose antidepressants include having an internist (rather than a psychiatrist or other health professional) prescribe the initial antidepressant, not taking prescription medications other than the antidepressant initiated, and being prescribed sertraline rather than either fluoxetine or citalopram (see eTable 2 in Supplement).

<sup>b</sup> From January 1, 1998, through December 31, 2010, 624 171 patients initiated

therapy with 1 of the study antidepressants, 607 538 initiated monotherapy. Of the 222 896 patients with baseline depression and no prior antidepressant use in the washout period, 202 605 were 10 to 64 years of age. Of these, 167 092 initiated therapy at or above the modal dose (166 253 within the therapeutic range (ie, excluding patients with subtherapeutic doses), and 162 605 did so without baseline bipolar disorder or schizophrenia (162 605 within the therapeutic range).

<sup>c</sup> *International Classification of Diseases, Ninth Revision* (codes 296.2x, 296.3x, 298.0x, 300.4x, 309.0x, 309.1x, 311.xx, 293.83, 296.90, 309.28).

therapy: days 1 to 30, days 31-90, and days 91-360. Exact methods were used to calculate 95% confidence intervals. Modified Poisson regression using an identity link was used to estimate the 90-day risk differences; Cox models were used to estimate hazard ratios (HRs).

Sensitivity analyses examined how robust our findings were to a range of grace periods. Additional subgroup analyses restricted participants to those without a prior suicide attempt and to those who had not received antidepressants in the 3 years prior to their index date. In mid-2005 a new diagnostic billing code for suicidal ideation became available. We used this historical development to assess the extent to which our primary analyses may have been confounded by this well-established predictor of DSH by examining the extent to which matched cohorts based on propensity score algorithms that did not incorporate suicidal ideation achieved balance on suicidal ideation and the extent to which adjusting for suicidal ideation as a covariate in Cox models attenuated the risk of suicide attempts associated with higher dose.

Bias analyses assessed the strength of residual confounding that would need to be present to fully explain associations found in our primary analyses.<sup>34,35</sup> Specifically, we estimated the strength of a single dichotomous unmeasured confounder that would be necessary to nullify the estimated

90-day risk difference. Bias in the risk difference is dependent on 2 factors: how predictive the hypothetical confounder is of attempts, and how imbalanced the confounder is across high- vs modal-dose treatment groups (both assessed on the additive scale). A priori, we expected depression severity (eg, prior inpatient stays or psychiatric comorbidities) and a history of suicidality (eg, prior ideation or attempts) to be the strongest potential confounders. Accordingly, we present the magnitude of confounding introduced by these measured confounders in the prematched cohort along with the bias analyses.

## Results

Baseline patient characteristics in age-group-stratified, propensity score-matched cohorts of high- vs modal-dose users were well balanced across dose categories (Table 1 and Table 2). For example, the age and sex distributions among high- vs modal-dose initiators were almost identical, and the distribution of our constructed tiers of depression severity differed little across dose categories. Suicidal ideation was also closely balanced across dose cohorts within each age stratum even though it did not contribute to the matching algorithm. Approximately half of all patients (45%) with a depression diagnosis



**Table 3. Rate of Deliberate Self-harm (DSH)<sup>a</sup> per 1000 Person-years, by Dose and Age Group Over the First Year After Initiating Therapy, and by Time Since Initiating Therapy**

Dose	Patients Initiating Therapy, No.	DSH Events	Person-years ×1000	DSH Rate (per 1000 Person-years)	DSH Rate (95% CI) by Time Since Index Date (No. of Events), d		
					0-30	31-90	91-360
Age 10-24 y							
High	7116	74	2 351.10	31.5 (24.9-39.3)	51.8 (35.4-73.4) (n = 29 patients)	36.8 (25.6-51.2) (n = 32 patients)	14.1 (7.9-23.4) (n = 13 patients)
Modal	14 189	68	4 628.50	14.7 (11.5-18.5)	20.9 (13.6-30.8) (n = 23 patients)	19.0 (13.3-26.4) (n = 33 patients)	6.7 (3.7-11.3) (n = 12 patients)
Age 25-64 y							
High	23 637	32	9 855.74	3.2 (2.3-4.5)	4.2 (2.0-8.0) (n = 8 patients)	2.8 (1.4-5.2) (n = 9 patients)	3.1 (1.8-5.0) (n = 15 patients)
Modal	45 002	49	17 672.36	2.8 (2.1-3.6)	7.5 (5.1-10.8) (n = 27 patients)	2.2 (1.2-3.6) (n = 13 patients)	1.1 (0.5-2.0) (n = 9 patients)

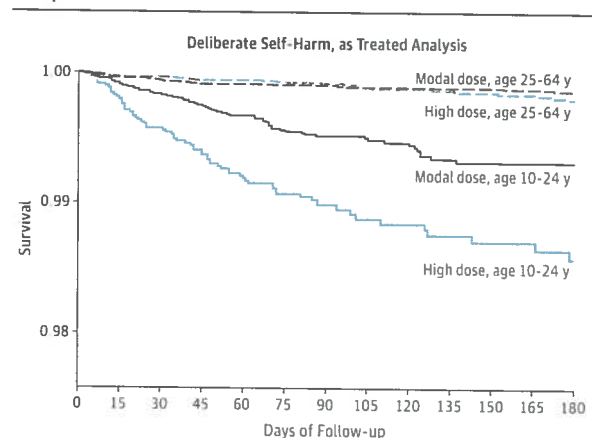
<sup>a</sup> Acts of self-harm of undetermined intent are not included in analyses (and constitute 19% of self-harm events that occurred during treatment among antidepressant initiators in our cohort). Most DSH claims in our analyses (88%) resulted from visits to emergency departments or hospital admissions.

who initiated high-dose SSRIs therapy (30 785) filled prescriptions written by internists or general practitioners (13 859) (Table 1 and Table 2). Among patients younger than 25 years, internists and/or general practitioners wrote one-third (33%) of all initial high-dose prescriptions; psychiatrists and/or psychologists wrote 30% of all such prescriptions (Table 1). Among patients 25 to 64 years of age, internists and/or general practitioners wrote 49% of all such high-dose prescriptions; psychiatrists and/or psychologists wrote 21% of such prescriptions (Table 2). Roughly one-third (32%) of all high-dose antidepressant initiators received prescription written by other types of physicians (31% among patients aged 25 to 64 years [Table 2], 37% among patients aged ≤24 years [Table 1]; 10% of the latter physicians were pediatricians [data not shown]).

In our matched cohorts, 142 participants ages 10 to 24 years (68 modal-dose initiators, 74 high-dose initiators) engaged in DSH within 1 year of treatment initiation; the corresponding rates of DSH for the modal- vs high-dose initiators were 14.7 (95% CI, 11.5-18.5) and 31.5 (95% CI, 24.9-39.3) events per 1000 person-years, respectively. For participants ages 25 to 64 years, there were 81 such acts (49 in modal-dose initiators, 32 in high-dose initiators), corresponding to rates of 2.8 (95% CI, 2.1-3.6) and 3.2 (95% CI, 2.3-4.5) events per 1000 person-years for the modal- vs high-dose participants, respectively (Table 3). Although the hazards were proportional throughout the 1-year follow-up period, most of the events occurred in the first 3 months after initiation (Table 3, Figure 1).

Propensity score-matched analyses produced HRs that were substantially higher in the 10- to 24-year-old cohorts than in the older cohorts (Table 4): among 10- to 24-year-olds the rate of DSH among high-dose participants was approximately double that among modal-dose participants (HR, 2.2; 95% CI, 1.6-3.0); for participants 25 to 64 years of age, the HR was considerably lower (HR, 1.2; 95% CI, 0.8-1.9). The age group by dose interaction achieved statistical significance ( $P = .04$ ) (data not shown).

Findings for the young cohort were robust to several different model specifications, including analyses that varied the grace period from 7 to 360 days, excluded participants without a DSH history prior to their index prescription, and among patients who were treatment naïve for at least 3 years (Table 4). The DSH HRs for high vs modal dose among those initiating

**Figure 1. Probability of Remaining Free of Deliberate Self-harm and Time Since Initiating High- vs Modal-Dose Antidepressant Therapy, by Age Group**

therapy in 2006 or later were found to be consistent with those found for the entire study period. Moreover, DSH HRs among this population were virtually identical regardless of whether Cox models adjusted for suicidal ideation (because suicidal ideation, while strongly predictive of the outcome, was not strongly related to dose) (Table 4).

In our primary analysis of the 10- to 24-year-old cohort, for every 1000 patients initiating high-dose therapy there were approximately 7 (7.3) more DSH events over the first 90 days of treatment among high-dose initiators compared with modal-dose initiators (95% CI, 3.6-11.1) (Table 4). The corresponding number needed to harm was 136. For the older cohort, the risk difference was effectively zero. Not all acts of DSH are e-coded in claims data (eg, some overdose by drug events are known to occur but lack e-codes, leading to underestimates of both intentional and unintentional overdose event rates). Although this is likely to be nondifferential with respect to our exposure of interest and therefore is unlikely to bias estimates appreciably because event rates are underestimated, the number needed to harm we derived is likely a conservative estimate (ie, an upper bound on the true number needed to harm).

Table 4. Deliberate Self-harm (DSH) Comparing Propensity Score-Matched Participants Initiating High-Dose vs Modal-Dose Antidepressant Therapy<sup>a</sup>

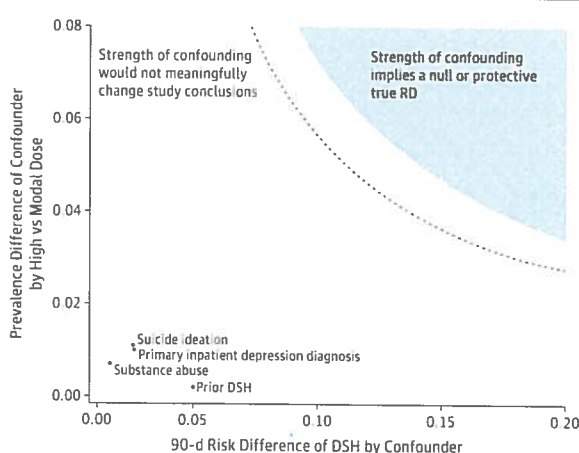
	(95% CI)		
Analysis	1-Year HR	90-d Risk Difference per 1000 Persons	No. Needed to Harm
10- to 24-Year-Old Cohort			
Duration of grace period, d			
60 <sup>b</sup>	2.2 (1.6 to 3.0)	7.3 (3.6 to 11.1)	136.2
7	2.1 (1.4 to 3.2)	18.2 (7.2 to 29.1)	55.0
14	2.0 (1.4 to 3.0)	15.8 (6.7 to 24.9)	63.2
30	2.3 (1.6 to 3.2)	12.7 (6.7 to 18.8)	78.4
90	2.1 (1.5 to 2.8)	6.9 (3.3 to 10.5)	145.0
180	2.0 (1.5 to 2.7)	6.9 (3.3 to 10.5)	145.0
360	1.7 (1.3 to 2.2)	6.9 (3.3 to 10.5)	145.0
First treatment carried forward	1.4 (1.1 to 1.8)	5.8 (2.9 to 8.7)	171.8
No history of baseline DSH	2.1 (1.5 to 3.0)	7.3 (3.7 to 10.9)	137.4
3-y treatment naive	1.7 (1.0 to 2.8)	6.5 (0.1 to 12.8)	154.8
2006-2010 data only: no SI adjustment	1.8 (1.2 to 2.6)	8.4 (2.8 to 14.1)	118.5
2006-2010 data only: adjusting for SI	1.8 (1.2 to 2.6)	8.9 (3.3 to 14.5)	112.6
25- to 64-Year-Old Cohort			
Duration of grace period, d			
60 <sup>b</sup>	1.2 (0.8 to 1.9)	-0.2 (-0.8 to 0.4)	NS
7	1.0 (0.6 to 1.8)	-0.3 (-1.7 to 1.1)	NS
14	0.9 (0.5 to 1.5)	-0.6 (-1.9 to 0.6)	NS
30	1.0 (0.6 to 1.7)	-0.6 (-1.4 to 0.3)	NS
90	1.2 (0.8 to 1.9)	-0.2 (-0.8 to 0.3)	NS
180	1.3 (0.9 to 2.0)	-0.2 (-0.8 to 0.3)	NS
360	1.4 (0.9 to 2.0)	-0.2 (-0.8 to 0.3)	NS
First treatment carried forward	1.4 (1.0 to 1.9)	-0.1 (-0.7 to 0.5)	NS
No history of baseline DSH	1.1 (0.7 to 1.8)	-0.3 (-0.9 to 0.3)	NS
3-y treatment naive	2.1 (0.9 to 4.8)	0.7 (-0.4 to 1.7)	NS
2006-2010 data only: no SI adjustment	1.3 (0.8 to 2.3)	-0.1 (-1.0 to 0.7)	NS
2006-2010 data only: adjusting for suicidal ideation	1.3 (0.8 to 2.2)	-0.0 (-0.9 to 0.8)	NS

Abbreviations: DSH, deliberate self-harm; NS, not significant clinically or statistically; SI, suicidal ideation.

<sup>a</sup> Hazard ratios (HRs) for deliberate self-harm (DSH) during 1-year of follow-up comparing propensity score-matched participants initiating high-dose vs modal-dose antidepressant therapy, risk differences per 1000 persons over the first 90 days of therapy, and corresponding number of patients needed to be treated to result in 1 additional suicide attempt

<sup>b</sup> Primary analysis. Sensitivity analyses of our unmatched cohort produced HRs similar to those from our (propensity score) matched analyses, not only when models adjusted for (ie, included a covariate for) the propensity to be treated with high-dose therapy, but also in crude and age- and sex-adjusted models. For example, crude, age- and sex-adjusted, and propensity score-adjusted HRs (95% CIs) of our unmatched 10- to 24-year-old cohorts were, respectively, 1.72 (95% CI, 1.32-2.25), 1.77 (95% CI, 1.36-2.32), and 1.87 (95% CI, 1.42-2.46) (not shown).

Figure 2. Bias Analysis for 10- to 24-Year-Old Cohort



DSH indicates deliberate self-harm; RD, risk difference. The dotted line indicates the strength of confounding implied if true RD is 2 attempts per 1000. The shaded area indicates the strength of confounding implied if the true risk difference is null or protective.

Figure 2 depicts how strong a risk factor and how imbalanced a hypothetical unmeasured confounder would need to be in order to nullify our 90-day risk difference in the younger cohort. As can be seen, a putative confounder that would nullify our findings (or even reduce the risk difference to what we considered a clinically meaningful difference of 2 events per 1000 patients) would need to be both far more predictive of subsequent DSH than our most highly predictive covariates (history of DSH, suicidal ideation, substance abuse, or inpatient hospitalization for depression) and also an order of magnitude more imbalanced across dose levels than our most imbalanced prematched covariate. It is important to note that such an unmeasured confounder would need to be this strong in the *matched* cohort; that is, it would need to be very strongly associated with dose and subsequent DSH even after adjustment for all the measured confounders accounted for in the propensity score-matching process.

## Discussion

To our knowledge, the current investigation is the first prospective cohort study to examine the relation between dose

of antidepressants and the risk of DSH. We found that the rate of DSH for children and young adults was approximately twice as large among patients initiating high-dose therapy compared with those initiating modal-dose therapy. Given the high baseline rates of DSH among these patients, we expect approximately 1 additional DSH event for every 136 patients 10 to 24 years of age who are treated with high-dose therapy (instead of modal-dose therapy). For the older cohorts, the absolute risk of DSH was far lower, and the difference in risk between the cohorts was effectively null.

Several possible mechanisms linking antidepressant use to suicidal behavior have been suggested,<sup>20,23-26,36-39</sup> including an early energizing effect that allows patients with depression to act on suicidal impulses, suicidogenic adverse effects (eg, akathisia, insomnia, panic attacks), episode-shifting effects (from depressive to manic episodes), and paradoxical worsening of depression. Although our study does not address the mechanisms whereby higher doses might lead to higher suicide risk, if depression-independent suicidogenic effects increase with dose, as has been observed for akathisia,<sup>28</sup> but antidepressive effects are insensitive to doses within a broad therapeutic range, as seems to be the case,<sup>29,40-45</sup> higher doses might produce a net tendency toward suicidal behavior.

To the extent that depression-independent suicidogenic effects of antidepressants exist, older adults may be less susceptible, on balance, if the antidepressive efficacy of antidepressants is superior for older adults compared with children and younger adults.<sup>46,47</sup> Our finding that dose-related suicide risk seems to be more pronounced among children and young adults might also reflect an age-related susceptibility to suicidogenic effects of antidepressants independent of depression severity, as was observed in randomized trials with placebo controls.<sup>1</sup>

The elevated risk of DSH we observe among youth receiving therapy with high-dose antidepressants compared with those receiving therapy with a modal dose might also be due to more frequent and severe drug discontinuation syndromes among patients receiving high-dose therapy.<sup>48</sup> Although we censor at known discontinuation of therapy, it is still possible that differential nonadherence and/or differential severity of withdrawal reactions due to nonadherence contributed to our findings. This form of nondifferential adherence would, however, bias findings to the null, as would poorer adherence that was related to untoward adverse effects, which in general tend to be more common among high-dose users, suggesting that our estimate of the risk of DSH associated with high-dose therapy is conservative. The robustness of our findings to grace periods as disparate as 1 week to 1 year also militates against withdrawal reactions playing a major role. Finally, the half-lives of our SSRIs are relatively long (range, 16-35 hours),<sup>49</sup> making severe withdrawal reactions less likely.

To examine the extent to which confounding not explicitly modeled in our propensity score adjustment may account for our results, we applied our primary matching algorithm, which did not include a covariate for baseline suicidal ideation, to data from 2006 through 2010. Baseline suicidal ideation, while a potent predictor of subsequent DSH (as expected), was not associated with dose (even across un-

matched cohorts), suggesting that other potential but unaccounted-for risk factors for DSH might also be reasonably balanced across our cohorts defined by dose. Although it is still possible that unmeasured confounding accounts for the dose-response relationship we observed, it is not obvious what other factors might have led to meaningful confounding of our results. Indeed, such an unmeasured confounder would have to possess a very strong association with both dose and suicidal behavior—and also remain largely uncorrelated with risk factors we explicitly accounted for in analyses. Estimates from our bias analysis suggest that any such unmeasured confounder would need to be both more predictive of subsequent DSH than the most highly predictive risk factor in our data set (history of DSH) and also an order of magnitude more imbalanced across dose levels than our most imbalanced covariate.

When interpreting findings from the current study, one should bear in mind several additional caveats. First, as in all analyses relying on claims databases, we have limited ability to adjust for the severity of psychiatric illness. We do, however, use propensity score techniques to adjust for psychiatric comorbidity and comedication and for a proxy of depression severity involving whether a patient's depression diagnosis occurred during an inpatient admission for depression, whether the diagnosis was a primary or secondary diagnosis, and whether the diagnosis occurred within the month prior to their index date or more remotely. Propensity scores offer an advantage in studies of rare outcomes (eg, DSH) because propensity scores model the relation of covariates and their interactions with the drug exposure (which is relatively frequent) and not directly with the study outcome (which is often rare), thereby mitigating the risk of overfitting in a traditional outcome model.<sup>50,51</sup> As is the case for all observational studies, however, our ability to adjust fully for underlying suicide risk at baseline depends on our ability to accurately classify baseline confounders—and is compromised to the extent that measurement and reporting of conditions coded on insurance claims are misclassified.<sup>52</sup> Second, we used administrative data and therefore did not measure antidepressant adherence directly. Using automated prescription data may, however, more accurately measure use than studies that rely on data from self-report surveys.<sup>53-55</sup> A related point is that we define drug exposure in our primary analysis in a way that seeks to capture how patients fill their medications (ie, analyses are "as treated") but in so doing admit possible selection bias owing to censoring.<sup>56</sup> Nevertheless, our findings were robust to analyses in which exposure was defined using "first treatment carried forward," which is not subject to immeasurable time bias or other selection biases due to censoring, but rather likely bias findings toward the null (especially over extended follow-up periods). Finally, it should be noted that although our study provides strong evidence against initiating adolescents and young adults with depression using high-dose antidepressant therapy, it does not address whether initiating antidepressant therapy with the most commonly prescribed (modal) dose increases or decreases the risk of DSH relative to no pharmacological treatment, or, for that matter, if our findings apply to patients with other indications. While the ques-



tion "Does prescribing antidepressants increase or decrease suicide risk?" is a question of great clinical importance (and controversy), we decided against using untreated patients as the reference group to minimize the potential for confounding by indication.

## Conclusions

In our study, approximately half of all patients initiating high-dose antidepressant therapy filled prescriptions written by internists or general practitioners. This statistic, coupled with

the acknowledgment that treatment decisions should be made on the basis of expected benefits and harms, underscores the relevance of our findings to clinicians caring for patients in both specialty and nonspecialty settings. Considered in light of recent meta-analyses concluding that the efficacy of antidepressant therapy for youth seems to be modest,<sup>46,47</sup> and separate evidence that dose is generally unrelated to the therapeutic efficacy of antidepressants,<sup>29,40-45</sup> our findings offer clinicians an additional incentive to avoid initiating pharmacotherapy at high-therapeutic doses and to monitor all patients starting antidepressants, especially youth, for several months and regardless of history of DSH.

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**Acquisition, analysis, or interpretation of data:** All authors.

**Drafting of the manuscript:** Miller, Swanson, Azrael. **Critical revision of the manuscript for important intellectual content:** Azrael, Pate, Stürmer.

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